R 26/987

U.S. DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES
WASHINGTON, D.C. 20202

APPLICATION FOR GRANTS UNDER REHABILITATION RESEARCH - FIELD INITIATED RESEARCH

NEWARK PUBLIC LIBRARY

AUG 13 1986

U. S. GOVT. PUBS.
DEPOSITORY 376

CFDA Number: 84.133G

FORM APPROVED
OMB No. 1820-0027 , EXP. DATE 11/87
ED FORM 792, 12/84

DATED MATERIAL - OPEN IMMEDIATELY

Closing Date: Cycle 1: September 30, 1986
Cycle 2: March 16, 1987

ED1.2:

DISCRIMINATION PROHIBITED. No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance, or be so treated on the basis of sex under most educational programs or activities receiving Federal assistance.

NOTICE TO APPLICANTS. U.S. Department of Education intent is to notify all unsuccessful applicants as soon as possible after award decisions have been made. DO NOT infer that an award is forthcoming if such notification is NOT received. This may indicate only that the selection process has not been completed.

Table of Contents

Dear Colleague Letter . . . . . A1 - A2

Notice of Closing Date for Transmittal of Applications . . . . . B

Rules and Regulations . . . . . C1 - C19

NIHR Peer Review Score Sheet . . . . . D1 - D10

Application Instructions and Forms . . . . . E1 - E19

Important Notice to Prospective Participants in USDE Contract and Grant Programs . . . . . F

Grant Application Receipt Acknowledgement . . . . . Back Cover

UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF THE ASSISTANT SECRETARY
FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES

Dear Colleague:

The National Institute of Handicapped Research (NIHR) is pleased to announce the availability of funds for new Field Initiated Research (FIR) Projects in FY 1987. This is the fourth year of activity in this program. In 1984, NIHR received 372 applications and made 47 awards; in 1985, NIHR received 238 applications and funded 12 new projects. Sixteen awards were made in 1986, from 139 applications. The purpose of these awards is for planning and conducting research and demonstration projects in areas which have a direct bearing on the development of methods, procedures, and devices to assist in the provision of rehabilitation services to disabled individuals, especially those with the most severe handicaps. NIHR has reserved approximately $1,000,000 to fund about 15 projects in this program in fiscal year 1987.

NIHR is now accepting applications for FIR projects as described in Section 357 of the enclosed revised regulations (Federal Register, 3-12-84). Potential applicants are advised to pay close attention to the regulations and selection criteria enclosed in this announcement and to complete the application according to the instructions. Applicants should note there are two cycles in this program, with closing dates of September 30, 1986 and March 16, 1987. Applications qualified for funding but not funded in the first cycle may be held for administrative consideration in the second cycle.

Applicants should prepare a brief abstract that describes their proposed research activity for item #7, "Title and Description of Applicant's Project" on Standard Form 424, which is included in this application kit. Applicants should include key words in the abstract that indicate: 1) objectives; 2) target populations; and 3) technique or methodology.

Applicants should observe the instructions for submitting applications contained in the application notice. Although Federal regulations permit NIHR to require only an original and two copies of the application, it would greatly facilitate the review process if applicants would voluntarily submit an original and four copies.

For further information, you may write to the National Institute of Handicapped Research, Mail Stop 2305, Room 3070, Switzer Building, 400 Maryland Avenue, S.W., Washington, D.C. 20202, Attention: Peer Review Unit or you may call the Institute at 202/732/1207. Deaf and hearing impaired individuals may call 202/732-1198 for TTY services.

Thank you for your continued interest in the rehabilitation research activities of the National Institute of Handicapped Research and best wishes in your research endeavors.

Sincerely,

Alton Hodges for

David B. Gray
Director
National Institute of
Handicapped Research

DEPARTMENT OF EDUCATION

Grants; Handicapped Research; Field-Initiated Projects

AGENCY: Department of Education.

ACTION: Application notice for transmittal of applications for new field-initiated research projects under the National Institute of Handicapped Research for fiscal year 1987.

Programmatic and Fiscal Information

The Secretary invites applications for new Field-Initiated Research projects for fiscal year 1987 under the National Institute of Handicapped Research. This program was initiated in 1984 to encourage eligible parties to originate valuable ideas for research projects to further the purposes specified in the Act. The awards are for the purpose of planning and conducting research and demonstration projects in areas which have a direct bearing on the development of methods, procedures, and devices to assist in the provision of vocational and other rehabilitation services to handicapped individuals, especially those with the most severe handicaps.

Potential applicants are advised to pay close attention to the regulations and selection criteria governing Field-Initiated Research in 34 CFR Parts 350 and 357. A copy of the regulations is included in the program information package.

NIHR intends to make awards under this program through grants or cooperative agreements. If at the time of negotiation of the award NIHR decides that substantial Federal involvement is warranted due to the scope or nature of the work proposed, a cooperative agreement will be negotiated with the successful applicant.

In fiscal year 1987, NIHR expects to conduct two cycles of competition for the Field-Initiated Research (FIR) program. NIHR expects to fund a total of approximately 15 new Field-Initiated Research grants or cooperative agreements, assuming a sufficient number of satisfactory applications and continued availability of funds. The Secretary is reserving approximately $750,000 to fund up to 10 projects during this first cycle of the competition. Projects will be funded for up to three years with an average amount of $75,000 per year, including both direct and indirect costs. Applications received in the first cycle which qualify for funding but which are not funded during that cycle may be held for consideration with the fundable applications in the second cycle. NIHR expects that applicants will be informed of the outcome of the first cycle of competition by the end of January 1987. Prospective applicants may submit more than one application.

However, these estimates do not bind the U.S. Department of Education to a specified number of grants or to the amount of any grant unless that amount is otherwise specified by statute or regulation.

Closing Date for Transmittal of Applications

Applications for new awards in the first cycle must be mailed or hand-delivered on or before September 30, 1986. Applications for new awards in the second cycle must be mailed or hand-delivered on or before March 16, 1987. Applications mailed or hand-delivered after September 30, 1986 and before March 16, 1987 will be considered for funding in the second cycle.

Applications sent by mail must be addressed to the U.S. Department of Education, Application Control Center, Attention: (CFDA No. 84.133G), 400 Maryland Avenue, SW., Washington, DC 20202.

Each late applicant will be notified that its application will not be considered.

Applications that are hand-delivered must be taken to the U.S. Department of Education, Application Control Center, Room 3633, Regional Office Building #3, 7th and D Streets, SW., Washington, DC.

The Application Control Center will accept hand-delivered applications between 8:00 a.m. and 4:30 p.m. (Washington, DC time) daily, except Saturdays, Sundays, and Federal holidays.

(Approved by the Office of Management and Budget under control number 1820-0027)

Applicable Regulations

Regulations applicable to this program include the following:

(a) The regulations governing the National Institute of Handicapped Research in 34 CFR Parts 350 and 357;

(b) Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, and 78.

Application forms:

Application forms and further information will be available on July 25, 1986. These may be obtained by writing to or calling the National Institute of Handicapped Research, U.S. Department of Education, 400 Maryland Avenue, SW., Switzer Office Building, Mailstop 3070-2305, Washington, DC 20202, (Attention: Peer Review Unit), Telephone (202) 732-1207. Deaf and hearing impaired individuals may call (202) 732-1198 for TTY services. Requests should refer to applications for 84.133G.

Further Information

For further information contact Betty Jo Berland, National Institute of Handicapped Research, U.S. Department of Education, 400 Maryland Avenue, SW., Switzer Office Building, Room 3070, Washington, DC 20202, Telephone (202) 732-1139; deaf and hearing impaired individuals may call (202) 732-1198 for TTY services.

Program Authority

29 U.S.C. 760-762.

(Catalog of Federal Domestic Assistance No. 84.133, National Institute of Handicapped Research)

Dated: July 10, 1986.

Madeleine Will,

Assistant Secretary for Special Education and Rehabilitative Services.

[FR Doc. 86-15927 Filed 7-14-86; 8:45 am]

BILLING CODE 4000-01-M

DEPARTMENT OF EDUCATION

34 CFR Parts 350, 351, 352, 353, 354, 355, and 357

National Institute of Handicapped Research; Research Programs

AGENCY: Department of Education.

ACTION: Final regulations.

SUMMARY: The Secretary adopts final regulations governing some programs of the National Institute of Handicapped Research (NIHR).

These amendments revise the criteria for the evaluation of applications for financial assistance and assign new weights to those criteria and also establish regulations for a program of Field-Initiated Research. These amendments improve and clarify existing regulations by detailing the component elements in each evaluation criterion, by placing greater emphasis on critical factors of project design and key personnel, and by applying the same criteria to all research grant programs funded by NIHR.

EFFECTIVE DATE: These regulations take effect either 45 days after publication in the Federal Register or later if Congress takes certain adjournments. If you want to know the effective date of these regulations, call or write the Department of Education contact person.

FOR FURTHER INFORMATION CONTACT: Betty Jo Berland, National Institute of Handicapped Research, Department of Education, 400 Maryland Avenue, SW., Room 3070, Switzer Building, Washington, D.C. 20202, Telephone (202) 732-1139. For general information on the research programs of the National Institute of Handicapped Research contact the Director of the Institute at the following address: Director, National Institute of Handicapped Research, 400 Maryland Avenue, SW., Room 3068, Switzer Office Building, Washington, D.C. 20202, Telephone (202) 732-1139 or TTY (202) 732-1198.

SUPPLEMENTARY INFORMATION: On October 6, 1983 the Secretary published a Notice of Proposed Rulemaking in the Federal Register (48 FR 45568) covering the grant selection criteria of the National Institute of Handicapped Research.

On September 10, 1981, NIHR published final regulations governing all of its programs. After two years of experience with reviewing grant applications, and on the basis of advice from peer reviewers and applicants, NIHR concluded that the evaluation criteria were unclear and did not give appropriate weight to the various criteria which NIHR believes are key to conducting successful research.

These amendments also establish a program of Field Initiated Research whereby NIHR will encourage potential investigators to generate research ideas based on needs and opportunities as perceived in the field.

This new program provides NIHR with a mechanism to fund proposals from the field which fall within the broad scope of statutorily authorized research activities but outside established funding priorities, and which give evidence of high quality, timeliness, and relevance to the problems of disabled individuals.

The Department received comments from the public on the proposed amendments to the regulations. A discussion of those comments, and the Department's responses to them, are attached as Appendix A to this document. The basic change in the amendments as originally proposed is the application of the same weights to the evaluation criteria for all research programs, including Field-Initiated Research (34 CFR Part 357).

Applicability of These Final Regulations

These regulations, including selection criteria, will apply to all grant awards made in Fiscal Year 1984 and succeeding years.

Executive Order 12291

These regulations have been reviewed in accordance with Executive Order 12291.

They are classified as non-major because they do not meet the criteria for major regulations established in the order.

Regulatory Flexibility Act Certification

The Secretary certifies that these regulations will not have a significant economic impact on a substantial number of small entities. These regulations are more flexible and less prescriptive than the existing regulations and it is expected that more small entities will apply to participate in the program.

List of Subjects

34 CFR Part 350

Administrative practice and procedure; Education, Educational research, Grant programs—education, Handicapped.

34 CFR Part 351

Education, Educational research, Grant programs—education, Handicapped, Intergovernmental relations, Vocational rehabilitation.

34 CFR Part 352

Education, Educational research, Grant programs—education, Handicapped, Manpower training programs, Vocational rehabilitation.

34 CFR Part 353

Education, Educational research, Grant programs—education, Handicapped, Intergovernmental relations, Rehabilitation engineering research, Technical assistance, Vocational rehabilitation.

34 CFR Part 354

Education, Educational research, Grant programs—education, Handicapped, Vocational rehabilitation.

34 CFR Part 355

Education, Education of handicapped, Grant programs—education.

34 CFR Part 357

Education, Educational research, Fellowships.

Assessment of Educational Impact

In the Notice of Proposed Rulemaking published in the Federal Register on October 6, 1983, the Department requested comments on whether the proposed regulations required information that is already being gathered or is available from any other agency or authority of the United States. Based on the absence of any comments on this matter and the Department's own review, it has been determined that the regulations in this document do not require information that is already being gathered by or is available from any other agency or authority of the United States.

Citation of Legal Authority

A citation of statutory or other legal authority appears in parentheses on the line following each section of these regulations.

Dated: March 5, 1984.

T. H. Bell,

Secretary of Education.

(Catalog of Federal Domestic Assistance Number 84.133, National Institute of Handicapped Research)

The Secretary amends Title 34 of the Code of Federal Regulations by amending Parts 350, 351, 352, 353, 354, and 355 and adding a new Part 357 as follows:

PART 350—HANDICAPPED RESEARCH: GENERAL PROVISIONS

1. Section 350.1 is amended by revising paragraph (b) to read as follows:

§ 350.1 Handicapped research.

* * * * *

(b) The Secretary awards financial assistance through seven types of programs:

(1) Research and demonstration projects (34 CFR Part 351);

(2) Research grants for establishment and operation of rehabilitation research and training centers (34 CFR Part 352);

(3) Research grants for establishment and operation rehabilitation engineering centers (34 CFR Part 353);

(4) Research grants for establishment and operation of model training centers (34 CFR Part 354);

(5) Knowledge dissemination and research utilization projects (34 CFR Part 355);

(6) Research fellowships (34 CFR Part 356); and

(7) Field-initiated research projects (34 CFR Part 357).

(Secs. 200 and 204 (29 U.S.C. 760 and 762))

2. Section 350.3 is amended by revising paragraph (c) to read as follows:

§ 350.3 What regulations apply to these programs?

* * * * *

(c) The regulations in 34 CFR Parts 351, 352, 353, 354, 355, or 357, as appropriate; and

* * * * *

§ 350.4 [Amended]

3. Section 350.4(b) is amended by removing the definition of "Core area."

4. Section 350.20 is revised to read as follows:

§ 350.20 What are the application procedures for these programs?

An applicant for assistance under 34 CFR Parts 351, 352, 353, 354, 355, or 357 shall submit a copy of the application to the State rehabilitation agency for comment in accordance with the procedures in EDGAR 34 CFR 75.155–75.159.

(Secs. 204(c), 306(i); (29 U.S.C. 762(c), 766(a))

5. Section 350.30 is revised as follows:

§ 350.30 To whom does the Secretary refer an application?

The Secretary refers each application for a grant under the Handicapped Research Programs to a peer review panel established by the Secretary. Peer review panels review applications for the Secretary on the basis of selection criteria described in § 350.34.

(Sec. 202(e) (29 U.S.C. 761(a)(e))

6. Section 350.33 is revised as follows:

§ 350.33 How does the Secretary evaluate an application?

(a) The Secretary evaluates an application under 34 CFR Parts 351, 352, 353, 354, 355, or 357 on the basis of the selection criteria in § 350.34.

(b) Each criterion applies to all types of NIHR-supported Centers and projects; the elements within each criterion also apply to all types of activities within such Centers and projects unless the regulations specifically state that their application is limited to certain types of activities.

(c) The Secretary awards up to 5 possible points for each criterion to applications under 34 CFR Parts 351, 352, 353, 354, 355, or 357. These points are awarded as follows based on how well the applicant addresses each criterion: Outstanding (5); superior (4); satisfactory (3); marginal (2); or poor (1).

(d) The Secretary computes a final score by multiplying the points awarded on each criterion by the weight assigned each criterion as indicated in parentheses after the descriptive title of the criterion.

(e) The maximum possible score for applications under 34 CFR Part 351, 352, 353, 354, 355, or 357 is 100 points.

(Sec. 202(e); (29 U.S.C. 761a(e))

7. Section 350.34 is revised to read as follows:

§ 350.34 What selection criteria does the Secretary use in reviewing grant applications?

(a) *Potential Impact of Outcomes: Importance of Program* (Weight 3.0). The Secretary reviews each application to determine to what degree—

(1) The proposed activity relates to the announced priority (does not apply to applications under 34 CFR Part 357);

(2) The research is likely to produce new and useful information (research activities only);

(3) The need and target population are adequately defined;

(4) The outcomes are likely to benefit the defined target population;

(5) The training needs are clearly defined (training activities only);

(6) The training methods and developed subject matter are likely to meet the defined need (training activities only); and

(7) The need for information exists (utilization activities only).

(b) *Potential Impact of Outcomes: Dissemination/Utilization* (Weight 3.0). The Secretary reviews each application to determine to what degree—

(1) The research results are likely to become available to others working in the field (research activities only);

(2) The means to disseminate and promote utilization by others are defined;

(3) The training methods and content are to be packaged for dissemination and use by others (training activities only); and

(4) The utilization approach is likely to address the defined need (utilization activities only).

(c) *Probability of Achieving Proposed Outcomes; Program/Project Design* (Weight 5.0). The Secretary reviews each application to determine to what degree—

(1) The objectives of the project(s) are clearly stated;

(2) The hypothesis is sound and based on evidence (research activities only);

(3) The project design/methodology is likely to achieve the objectives;

(4) The measurement methodology and analysis is sound (research and development/demonstration activities only);

(5) The conceptual model (if used) is sound (development/demonstration activities only);

(6) The sample populations are correct and significant (research and development/demonstration activities only);

(7) The human subjects are sufficiently protected (research and development/demonstration activities only);

(8) The device(s) or model system is to be developed in an appropriate environment;

(9) The training content is comprehensive and at an appropriate level (training activities only);

(10) The training methods are likely to be effective (training activities only);

(11) The new materials (if developed) are likely to be of high quality and uniqueness (training activities only);

(12) The target populations are linked to the project (utilization activities only); and

(13) The format of the dissemination medium is the best to achieve the desired result (utilization activities only).

(d) *Probability of Achieving Proposed Outcomes: Key Personnel* (Weight 4.0). The Secretary reviews each application to determine to what degree—

(1) The principal investigator and other key staff have adequate training and/or experience and demonstrate appropriate potential to conduct the proposed research, demonstration, training, development, or dissemination activity;

(2) The principal investigator and other key staff are familiar with pertinent literature and/or methods;

(3) All required disciplines are effectively covered;

(4) Commitments of staff time are adequate for the project; and

(5) The applicant is likely, as part of its non-discriminatory employment practices, to encourage applications for employment from persons who are members of groups that traditionally have been underrepresented, such as—

(i) Members of racial or ethnic minority groups;

(ii) Women;

(iii) Handicapped persons; and

(iv) The elderly.

(e) *Probability of Achieving Proposed Outcomes: Evaluation Plan* (Weight 1.0). The Secretary reviews each application to determine to what degree—

(1) There is a mechanism to evaluate plans, progress and results;

(2) The evaluation methods and objectives are likely to produce data that are quantifiable; and

(3) The evaluation results, where relevant, are likely to be assessed in a service setting.

(f) *Program/Project Management: Plan of Operation* (Weight 2.0). The Secretary reviews each application to determine to what degree—

(1) There is an effective plan of operation that insures proper and efficient administration of the project(s);

(2) The applicant's planned use of its resources and personnel is likely to achieve each objective;

(3) Collaboration between institutions, if proposed, is likely to be effective; and

(4) There is a clear description of how the applicant will include eligible project participants who have been traditionally underrepresented, such as—

(i) Members of racial or ethnic minority groups;

(ii) Women;

(iii) Handicapped persons; and

(iv) The elderly.

(g) *Program/Project Management: Adequacy of Resources* (Weight 1.0). The Secretary reviews each application to determine to what degree—

(1) The facilities planned for use are adequate;

(2) The equipment and supplies planned for use are adequate; and

(3) The commitment of the applicant to provide administrative support and adquate facilities is evident.

(h) *Program/Project Management: Budget and Cost Effectiveness* (Weight 1.0). The Secretary reviews each application to determine to what degree—

(1) The budget for the project(s) is adequate to support the activities;

(2) The costs are reasonable in relation to the objectives of the project(s); and

(3) The budget for subcontracts (if required) is detailed and appropriate.

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761a(i)(1)))

PART 351—HANDICAPPED RESEARCH: RESEARCH AND DEMONSTRATION PROJECTS

8. Section 351.31 is revised to read as follows:

§ 351.31 What selection criteria are used under this program?

The selection criteria used under this program are the criteria described in § 350.34.

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761a(i)(1)))

PART 352—HANDICAPPED RESEARCH: REHABILITATION RESEARCH AND TRAINING CENTERS

9. Section 352.31 is revised to read as follows:

§ 352.31 What selection criteria are used under this program?

The selection criteria used under this program are the criteria described in § 350.34

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761a(i)(1)))

PART 353—HANDICAPPED RESEARCH: REHABILITATION ENGINEERING PROGRAM

10. Section 353.31 is revised to read as follows:

§ 353.31 What selection criteria are used under this program?

The selection criteria used under this program are the criteria described in § 350.34.

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761a(i)(1)))

PART 354—HANDICAPPED RESEARCH: MODEL RESEARCH AND TRAINING PROGRAM

11. Section 354.31 is revised to read as follows:

§ 354.31 What selection criteria are used under this program?

The selection criteria used under this program are the criteria described in § 350.34.

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761(i)(1)))

PART 355—HANDICAPPED RESEARCH: KNOWLEDGE DISSEMINATION AND UTILIZATION

12. Section 355.31 is revised to read as follows:

§ 355.31 What selection criteria are used under this program?

The selection criteria used under this program are the criteria described in § 350.34.

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761(i)(1)))

13. The Secretary adds a new Part 357 to Title 34 of the Code of Federal Regulations as follows:

PART 357—HANDICAPPED RESEARCH: FIELD-INITIATED RESEARCH PROJECTS

Subpart A—General

Sec.

357.1 What is the field-initiated research projects program?
357.2 Who is eligible for assistance under this program?
357.3 What regulations apply to this program?
357.4 What definitions apply to this program?

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

357.10 What types of projects are authorized under this program?

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make A Grant?

357.30 How is peer review conducted under this program?
357.31 How does the Secretary evaluate an application under this program?
357.32 What selection criteria are used under this program?
357.33 What are the priorities for funding under this program?

Authority: Title II of the Rehabilitation Act of 1973 (Pub. L. 93-112), as amended by Pub. L. 95-602 (29 U.S.C 760-762; 92 Stat. 2962-2966), unless otherwise noted.

Subpart A—General

§ 357.1 What is the field-initiated research projects program?

This program is designed—

(a) To encourage eligible parties to originate valuable ideas for research projects to further the purposes specified in 34 CFR 351.1;

(b) To support research projects which address important activities not contained within announced NIHR priorities; and

(c) To support research projects which address an NIHR priority in a more

promising way than already planned work.

(Secs. 200(1); 202(i)(1); 204; (29 U.S.C. 760(1), 761a(i)(1), 762))

§ 357.2 Who is eligible for assistance under this program?

Those agencies and organizations eligible to apply under this program are described in 34 CFR 350.2.

(Sec. 204; (29 U.S.C. 762))

§ 357.3. What regulations apply to this program?

The regulations referenced in 34 CFR 350.3 apply to this program.

(Secs. 202 and 204; 29 U.S.C 761a, 762)

§ 357.4 What definitions apply to this program?

The definitions listed in 34 CFR 350.4 apply to this program.

(Sec. 202(i) (1); (29 U.S.C. 761a(i)(1)))

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

§ 357.10 What types of projects are authorized under this program?

The Field-Initiated Research Projects program provides financial assistance for the types of projects authorized under 34 CFR 351.10 (Research and Demonstration Projects Program).

(Secs. 202(i)(1), 204(a), 204(b)(3–5), 204(b)(7–9), 204(b)(11); 29 U.S.C. 761a(i) (1); 762(a), 762(b)(3–5), 762(b)(7–9), 762(b)(11))

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

§ 357.30 How is peer review conducted under this program?

Peer review is conducted under this program in accordance with 34 CFR 350.30–350.32.

(Sec. 202(e); (29 U.S.C 761a(e)))

§ 357.31 How does the Secretary evaluate an application under this program?

The Secretary evaluates an application under this program for scientific merit on the basis of the selection criteria in § 357.32, and according to the procedures in § 350.33.

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761a(i)(1))) (OMB # 1820–0027; expires 11/84)

§ 357.32 What selection criteria are used under this program?

The selection criteria used under this program are the criteria described in § 350.34.

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761a(i)(1)))

§ 357.33 What are the priorities for funding under this program?

(a) The Secretary reserves funds to support some or all of the proposals which have been awarded a rating of 80 points or more under the procedures described in § 357.31.

(b) In making a final selection of proposals to support under this program, the Secretary will consider the extent to which proposals that have been awarded a rating of 80 points or more meet one or more of the following conditions:

(1) The proposal represents a unique opportunity to conduct research which has the potential for effecting a major advancement in knowledge;

(2) the proposal addresses an important research problem in a singular or innovative way;

(3) the proposal complements already planned research and will increase the potential value of that research in a significant way.

(Secs. 202(g) and 202(i)(1); (29 U.S.C. 761a(g) and 761a(i)(1))

Appendix A—Analysis of Public Comments and Changes in the Final Regulations

Note.—This appendix will not appear in the Code of Federal Regulations.

The following is a summary of public comments concerning the National Institute of Handicapped Research (NIHR) Notice of Proposed Rulemaking (NPRM) published in the Federal Register on October 6, 1983 (48 FR 45568).

This summary is divided into two sections; one parallels the order of the evaluation criteria on which comments were received; the second section discusses comments on issues other than the evaluation criteria.

Evaluation Criteria

Section 350.20

Comment: Some respondents stated that it would be inappropriate to have all applications, especially those for field-initiated research, submitted to the State rehabilitation agency for comment because many will deal with subjects pertinent to NIHR but of no particular interest to State agencies.

Response: No change has been made. The statute requires that State rehabilitation agencies must be provided the opportunity to comment on applications for financial assistance awarded by NIHR. (Sections 204(c) and 306(i) of the Rehabilitation Act of 1973, as amended). Potential applicants should submit copies of grant applications to the appropriate State Vocational Rehabilitation agency simultaneously with submission to NIHR. State agency approval is not required; the only requirement is that these agencies be provided an opportunity to comment.

Section 350.33

Comment: Some commenters thought it should be made clear whether all criteria apply to all programs unless explicitly stated otherwise.

Response: A change has been made. Section 350.33 now states explicitly that the criteria and component elements apply to all research grant programs and all activities conducted under those programs unless stated otherwise.

Section 350.34

Comment: Several commenters stated the opinion that the soundness of the hypothesis (paragraph (2) under § 350.34(a)) is an element of project design rather than a measure of program importance.

Response: A change has been made. The factor rating soundness of hypothesis has been shifted to an element in project design (now paragraph (2) under § 350.34(c)).

Comment: Some commenters stated that adequate definition of "need" and "target population" and likelihood of benefiting the target population (paragraphs (4) and (5) under §350.34(a)) should apply to research activities as well as to demonstration and utilization activities.

Response: A change has been made. In § 350.34(a), these two elements (paragraphs (3) and (4)) now apply to all programs.

Comment: One commenter stated that the elements of each criterion should be described in greater detail.

Response: No change has been made. While this might be desirable, the difficulties of specifying more detailed elements, and the added paperwork involved, would more than offset any benefit. The Secretary believes that there will be a general consensus on the meaning of these elements among qualified peer reviewers.

Comment: Two commenters stated that the requirement that devices or model systems be "developed in a relevant environment" (paragraph (7) under § 350.34(c)) should apply to research activities as well.

Response: A change has been made. This element now applies to all programs and is now stated as "an appropriate environment." (§ 350.34(c)(8))

Comment: Several commenters suggested that the "means to disseminate and promote utilization by

others" should apply to research activities as well. (§ 350.34(b)(2))

Response: A change has been made. This element now applies to all activities.

Comment: A number of commenters stated that the Evaluation Plan should be weighted more heavily relative to other criteria.

Response: No change has been made. While the Secretary agrees that this is an extremely important element of a proposal he does not believe its relative weight should be increased because of the critical importance of other criteria.

Comment: One commenter also suggested that the relative weight assigned to Project Design be increased by 40 percent by devaluating other criteria.

Response: No change has been made. Project Design is presently the most heavily weighted of the criteria, which reflects the belief that it is of primary importance. However, the Secretary believes that "Project Design" is narrowly defined here in terms of a few discrete elements applicable to each type of program. Many of the other criteria and component elements also contribute to the overall project design in a broader sense and they should not be devaluated.

Comment: Several commenters expressed a concern that the weight given to "Key Personnel" would tend to favor well-known researchers over newer or younger investigators and urged that objectivity be communicated to the peer review teams.

Response: A change has been made. The Secretary believes that the elements which comprise this criterion are important and recognize appropriate factors. However, § 350.34(d)(1) has been amended to read "The principal investigator and other key staff have adequate training and/or experience and demonstrate appropriate potential to conduct the proposed research, demonstration, training, development, or dissemination activity."

Section 352

Comment: One commenter suggested that an additional criterion should be added in evaluating applications for Research and Training Centers (RTC)—that each center should develop a coherent body of knowledge.

Response: No change has been made. The Secretary agrees that RTCs are expected to develop such knowledge in their respective fields, but believes this is best accomplished by assuring that the RTC application is responsive to the priority, and through advisory guidelines to applicants.

Section 357

Comment: Many commenters argued that the purpose of the new criteria would be circumvented by having each criterion equally weighted when applied to field-initiated research. For instance, they pointed out that such an arrangement would give criteria such as "management plan" and "adequacy of resources" equivalent weight with "project design" and other more significant criteria. Commenters suggested that evaluation criteria should be weighted the same for all programs.

Response: A change has been made. The Secretary concurs with this point and the regulations have been modified to weight criteria equally for all programs. Under this system the Secretary will reserve funds in the Field-Initiated Research program for those applications receiving 80 or more points, selected on how well they meet the criteria in § 357.33.

General and Additional Comments

Comment: Several commenters questioned the qualifications for and the method of selecting peer reviewers.

Response: No change has been made. The regulations state only that peer review according to an accepted plan and the standards of EDGAR will be used to evaluate applications. The regulations are not the appropriate medium to detail peer review. However, an annual Technical Review Plan is prepared by NIHR. NIHR has been expanding its Registry of Field Readers; and NIHR welcomes discussion and comments on its peer review process at any time.

Comment: A few commenters stated that peer review ratings should be the only criteria used to determine funding, or that there should be less discretion to deviate from strict reliance on peer review scores.

Response: No change has been made. The Secretary retains the final responsibility for determining the most appropriate award of Departmental resources. The Education Department General Administrative Regulations and the NIHR annual Technical Review Plan stipulate the factors which must be considered in making funding decisions, and stipulate peer review ratings are critical but not sole factors.

Comment: One commenter suggested that NIHR require a concept paper to determine which proposed field-initiated research projects should be developed into full proposals.

Response: No change has been made. Although the Secretary recognizes this method has some merits, the Secretary wants to keep the burden on both applicants and reviewers at a minimum, and to limit the cost of the review process. Thus, applicants will be encouraged to submit brief applications.

Comment: One commenter suggested that NIHR staff screen field-initiated research proposals for soundness of hypothesis and methodology before submitting them to peer review.

Response: No change has been made. The Secretary believes that such judgments should more appropriately be made by peer reviewers. NIHR staff screen applications only to assure that they are complete and, where appropriate, are responsive to the announced funding priorities or other program requirements.

Comment: One commenter suggested that RTCs or Rehabilitation Engineering Centers be permitted to use up to 5% of their budgets for pilot projects consistent with their mission.

Response: No change has been made. Center applicants now have the freedom to propose such projects in areas related to the stated priority or other related priorities.

Comment: A few commenters advised that NIHR should continue its priority-setting process and should not neglect major programmatic thrusts in order to fund field-initiated research.

Response: No change has been made. NIHR will continue its priority-setting process for all of the programs in Parts 351, 352, 353, 354, and 355, and these programs constitute the bulk of NIHR's financial assistance.

Comment: One commenter objected to the use of a single set of criteria, stating that separate criteria should be used for NIHR's different programs.

Response: No change has been made. The Secretary believes the use of different criteria for each of NIHR's different programs has proved confusing to applicants and peer reviewers and that the new regulations wil be clearer and easier to apply uniformly.

[FR Doc. 84-6443 Filed 3-9-84; 8:45 am]
BILLING CODE 4000-01-M

DEPARTMENT OF EDUCATION

34 CFR Parts 350, 351, 352, 353, 354, 355, 356, and 362

National Institute of Handicapped Research; Research Programs

AGENCY: Department of Education.

ACTION: Final regulations.

SUMMARY: The Secretary adopts final regulations governing the research programs of the National Institute of Handicapped Research. These regulations implement new and revised research authorities contained in Title II of the Rehabilitation, Comprehensive Services and Developmental Disabilities Amendments of 1978 (Pub. L. 95–602).

The regulations include application requirements, a specification of the kinds of activities that can be supported under each of the Institute's research programs, peer review and matching provisions, selection criteria to be used by the Secretary to evaluate grant applications, and provisions authorizing the Secretary to establish research priorities.

EFFECTIVE DATE: Unless the Congress takes certain adjournments, these regulations will take effect 45 days after publication in the Federal Register. If you want to know if there has been a change in the effective date of these regulations, call or write the Department of Education contact person. At a future date, the Secretary will publish a notice in the Federal Register stating the effective date of these regulations.

FOR FURTHER INFORMATION CONTACT: Michael Herrell, National Institute of Handicapped Research, Department of Education, 400 Maryland Avenue, SW., Room 3511, Switzer Officer Building, Washington, D.C. 202022305, Telephone (202) 472–6551 or for general information on the research programs of the National Institute of Handicapped Research—the Director of the Institute at the following address: Director, National Institute of Handicapped Research, 400 Maryland Avenue, SW., Room 3060, Switzer Office Building, Washington, D.C. 202022305, Telephone (202) 245–0565 or TTY (202) 245–0591.

SUPPLEMENTARY INFORMATION: On December 30, 1980 the Secretary published a Notice of Proposed Rulemaking in the Federal Register (45 FR 86317) covering the research programs of the National Institute of Handicapped Research. Organizationally, the proposed regulations consolidated 13 distinct research grant authorities and one fellowship authority into six separate research programs (Parts 351–356). This was done so that the various research programs would correspond to the annual budget categories used by Congress to appropriate funds for the Institute. This organizational structure has been retained in the final regulations. A complete description of these research programs is contained in the Supplementary Information section of the preamble to the Notice of Proposed Rulemaking.

The Department received numerous comments from the public on the proposed regulations. A discussion of major issues and a summary of the public comments and the Department's responses to those comments are attached as Appendix A to this document. Significant changes include: Refinement and clarification of selection criteria in § 350.34, § 352.31, § 354.31, and § 355.31; deletion of provisions requiring confidentiality of personal information (proposed § 350.50) and the identification in grant applications of the amount of matching to be furnished (proposed § 350.21) because they are not required by statute; and the elimination from the regulations of special costs allowable under end-stage renal disease projects because these costs are considered customary and therefore do not warrant particular mention in the regulations (proposed § 351.40).

Applicability of These Final Regulations

These regulations, including selection criteria, will apply to all grants and fellowship awards made in fiscal year 1982 and succeeding years.

Assessment of Educational Impact

In the Notice of Proposed Rulemaking published in the Federal Register on December 30, 1980, the Department requested comments on whether the proposed regulations required information that is already being gathered or is available from any other agency or authority of the United States. Based on the absence of any comments on this matter and the Department's own review, it has been determined that the regulations in this document do not require information that is already being gathered by or is available from any other agency or authority of the United States.

Burden Reduction

To assist the Department in complying with the specific requirements of Executive Order 12291 and its overall objective of reducing regulatory burden, public comment is invited on whether there may be further opportunities to reduce any regulatory burdens found in these regulations, especially with regard to paperwork and compliance requirements.

Citation of Legal Authority

A citation of statutory or other legal authority appears in parenthesis on the line following each section of these regulations.

Dated: September 3, 1981.

T. H. Bell,

Secretary of Education.

(Catalog of Federal Domestic Assistance Number 84.133 National Institute of Handicapped Research)

Appendix A—Analysis of Public Comments and Changes in the Final Regulations

[Note.—This appendix will not appear in the Code of Federal Regulations.]

The following is a summary of public comments concerning the National Institute of Handicapped Research (NIHR) Notice of Proposed Rulemaking (NPRM) published in the Federal Register on December 30, 1980 (45 FR 86317). The summary is divided into three sections.

The first section, entitled "Major Issues," considers the general comments received on three issues which generated the most concern—perceived narrowing of the scope of NIHR research, removal of the 15% ceiling on indirect costs for certain center grants and failure to provide for an exception to EDGAR to permit non-competitive renewals of Research and Training Center grants after five years of funding.

The second section of this summary, entitled "General Comments," considers comments and suggestions concerning the general approach and format of the NIHR NPRM.

The third section, entitled "Proposed Rules," concerns comments and suggestions directed to specific provisions of the NPRM. The comments and responses in this third section are organized in the same order as the provisions occur in the NPRM.

Major Issues

Issue: Does adoption in the regulations of the definition of "handicapped individual" provided in Section 7(7)(A) of the Act, rather than the Section 7(7)(B) definition, narrow the scope of research activity NIHR can support? No.

Section 7(7) of the Act contains two definitions of "handicapped individual." The first definition (section 7(7)(A)) applies to all titles of the Act except Titles IV and V and defines "handicapped individual" in terms of eligibility for vocational rehabilitation

READEX FICHE best copy available

services. The second definition (section 7(7)(B)) applies to Titles IV and V of the Act only and defines "handicapped individual" more broadly in terms of impairments which substantially limit a person's major life activities. While it is clear that the narrower (section 7(7)(A)) definition must be applied to Title II, this does not limit the scope of research activity that NIHR can support. This point was emphasized in the preamble to the NPRM when the Department stated that the 1978 amendments to the Act "broadened the scope of research activity under the general research and demonstrations authority of section 204(a) of the Act from a purely vocational or employment focus to encompass all rehabilitation problems encountered by handicapped individuals in their daily activities." The preamble also contained the following language: "The 1978 amendments also expanded, under certain of the new specialized research programs, the group of handicapped persons intended to benefit from research findings. Although the primary beneficiaries of the Institute's research programs continue to be State vocational rehabilitation agency clients, there are newly authorized grant programs that focus on the needs of preschool age handicapped children, other handicapped children, deaf persons, and handicapped individuals who are aged sixty or older."

Comment. Commenters said that using the narrower definition seemed to be inconsistent with the statutory goal of assisting handicapped individuals to live more independently (section 200(2)); with the requirement that the Director of NIHR develop and submit to Congress a research plan identifying research which should be conducted on problems encountered by handicapped individuals in their daily activities (section 202(g)(1)); and with the authority to fund research related to rehabilitation of handicapped children and handicapped individuals who are aged sixty or older (section 204(b)(8)).

Commenters urged the Secretary to clarify within the regulations that research is not confined to problems of employability or intended to benefit only persons considered employable. It was argued that the basic intent of Title II transcends employability and reflects the new rehabilitation philosophy which is concerned with independent living and improvement in the quality of life of handicapped persons as well as vocational rehabilitation.

Response. No change has been made in the definition of "handicapped individual" in the final regulations. The Act clearly indicates that the narrower Section 7(7)(A) definition of "handicapped individual" is applicable. However, changes have been made in § 350.1 to emphasize the broadened research authority of NIHR.

Issue: Should indirect costs on grants for Research and Training Centers be limited to 15% of total direct allowable costs? No.

Current regulations governing this program (which will be superseded by these regulations) were developed by the Department of Health, Education, and Welfare and provided for a limitation on indirect costs in grants for Research and Training Centers (15% of direct costs less certain exclusions: see 34 CFR 362.62(c)).

Comment. A number of commenters from Research and Training Centers, State agencies, and professional associations objected strenuously to the removal of this provision from the NPRM, contending the result would be reduced funds available for direct expenditure on research and training because of high overhead costs.

Response. OMB Circular A-21 on cost principles for educational institutions establishes a government-wide policy that Federal programs will bear their "fair share of total costs * * * except where restricted or prohibited by law." It further provides that "agencies are not expected to place additional restrictions on individual items of cost." Consistent with OMB Circular A-21, the Department has established an 8% ceiling on indirect costs for training activities (EDGAR, 34 CFR 75.562).

Although the Department is not prepared at this time to establish any additional limits on indirect costs beyond what is already provided for in EDGAR, it is reviewing the entire issue of indirect costs. Any changes that may result from this review will be reflected in amendments to EDGAR.

Issue: Should grantees of the Research and Training Center (RTC) program be required to compete for a new grant at the end of each five year project period? Yes.

Practice in this program while located in the Department of Health, Education, and Welfare (from 1962 to 1980) permitted non-competitive renewals of RTC grants at the end of project periods on the basis of a thorough scientific peer review.

Comment. A number of commenters strenuously objected to the failure to include in the regulations any provision for non-competitive renewal of RTC grants. Commenters maintained that much of the research conducted by the RTCs is of a long-term nature and that it usually takes from two to three years to employ the necessary staff. It was further alleged that if staff did not know whether a center's funding was to be continued until the project period was almost completed, centers would experience difficulty in retaining staff as the project termination date approached.

Response. Policy of the Department as expressed in EDGAR (34 CFR 75.250) is that project periods can be up to 60 months. Any support beyond 60 months would necessitate a new project period and be governed by the procedures for selecting new projects (34 CFR 75.253(d)). Department policy on the selection of new projects for funding is contained in 34 CFR 75.217(d) and requires the selecting official to determine the order in which applications are selected on the basis of selection criteria and other factors published in the Federal Register. The three exceptions to this procedure are stated in 34 CFR 75.219 and do not apply to this situation. However, 34 CFR 75.116(b) provides the opportunity for prior grantees to submit any existing evaluation of a completed project that is related to a grant proposal for a new project to the Secretary for his consideration during the selection process.

There is, therefore, no basis to continue funding of Research and Training Centers beyond the 60 month maximum project period other than by competition. A regulation permitting non-competitive renewals cannot be included in the regulations.

General Comments

Comment. One commenter from a university research center noted that while the NPRM contains specific criteria for evaluating grant applications, there is no mention of the criteria which the Secretary uses in selecting "project concepts" under which grant proposals will be solicited.

Response. The NPRM provided in 34 CFR 350.38(a) for the Secretary to solicit grant proposals on two bases: either by specifying project concepts in an Application Notice in the Federal Register or by requesting, also through an Application Notice, that applicants submit field-designed proposals addressing a national need of their own identification. Under the final regulations, the Secretary will solicit grant proposals on one basis: by specifying in an Application Notice in the Federal Register national needs in rehabilitation research, which applicants must address in their grant proposals. National needs will be identified by the Secretary on an annual basis and are derived from the long-

range rehabilitation research planning process required by Section 202(g) of the Act.

Comment. Two commenters from a university child medical center suggested that the Secretary should ensure that there is a balance of projects funded in both applied and basic research.

Response. NIHR supports both basic and applied research. Since the Act permits basic research to be conducted only where related to rehabilitation techniques or services, most of the research supported is applied research.

Comment. The same commenters suggested that priority be given to research that would develop artificial limbs for children.

Response. The Department published an Application Notice in the Federal Register on June 24, 1981 (46 FR 32848) soliciting grant proposals for new research projects in fiscal year 1981 in five prioritized research areas, one of which addresses the unmet needs of prosthetics and orthotics. An application focusing on children could be submitted under this priority.

Comment. One commenter from a mental health research center remarked that the role of NIHR in coordinating all Federal rehabilitation research through the Interagency Committee on Handicapped Research was not covered in the NPRM.

Response. This was not considered an appropriate matter for inclusion within the NIHR regulations. It has no relationship to requirements imposed on NIHR applicants or grantees.

Comment. One commenter from a university school of education suggested that § 351.10(b) should include "Management Planning and Evaluation in the State-Federal Rehabilitation Program."

Response. The specialized research authorities listed in § 351.10(b) are derived from the Act and cannot be revised without legislative amendment.

Comment. One commenter from a rehabilitation research center faulted the NPRM for not distinguishing between new and continuation approval criteria.

Response. The criteria specified in these regulations apply only to approval of new projects. Criteria for approval of continuation awards are contained in 34 CFR 75.253(a).

Comment. One commenter from a Research and Training Center requested that greater clarification be made between Research and Training Centers under 34 CFR Part 352 and Model Training Centers under 34 CFR Part 354.

Response. The greatest difference between the two types of centers is their scope of responsibility. Model Training Centers must focus their activities on evaluating and developing the employment potential of handicapped persons, whereas Research and Training Centers can concentrate on any aspect of rehabilitation that addresses the needs of handicapped persons in their geographic area. The final regulations clearly distinguish these two types of centers.

Comment. One commenter asked if there will be standard criteria for evaluating jointly funded projects under Section 204(b)(7) of the Act.

Response. If NIHR is designated lead agency and holds the competition for a jointly funded project then its selection criteria governing jointly funded projects will apply. If another agency is designated lead agency, it will announce the competition and its criteria will apply.

Comment. One commenter asked what was meant in the preamble to the NPRM where the broadened scope of the Institute's research program was discussed and the following words were employed: "Primary beneficiaries of the Institute's research programs continue to be State vocational rehabilitation clients."

Response. This language recognizes that although there are new research authorities in Title II that address the specialized rehabilitation needs of handicapped children or individuals aged sixty or older, the primary beneficiaries of much of the Institute's research continue to be State agency vocational rehabilitation clients.

Proposed Rules

Part 350—Handicapped Research: General Provisions

Subpart A—General

§ 350.1(a) Handicapped research.

Comment. Three commenters suggested the mission of NIHR had been reflected too narrowly and referred to Section 200 of the Act where one of the purposes is to "increase the scientific and technological information presently available in the field of rehabilitation."

Response. Changes have been made in the wording of this section to reflect the fact that the research authority of Title II covers research in other areas besides vocational rehabilitation, including independent living, and research directed to meet the needs of handicapped children and handicapped persons aged sixty or older.

§ 350.4 Definitions.

"Core area"

Comment. "Core area" was defined in the NPRM as "a program of research in which entire activity is planned so as to contribute in a sequential or complementary way to a centralized body of knowledge of manageable scope." One commenter found the use of the phrase "a program of research" confusing.

Response. This comment has been accepted and the definition of "core area" has been rewritten to indicate that it means a discrete area of research consisting of a group of related research projects or studies rather than an entire program of research.

"Handicapped individual"

Comment. The essence of the comments received on this definition are discussed in the section entitled "Major Issues" and relates to whether the use of the Section 7(7)(A) definition of "handicapped individual" in the regulations is inconsistent with the broad rehabilitation scope of the Institute's research authority.

Response. The term "handicapped individual" is a defined statutory term. The Section 7(7)(A) definition applies to Title II except where the context indicates otherwise. For example, research programs specifically benefitting handicapped children or handicapped persons aged sixty or older are not covered by this definition. The regulations use terms other than "handicapped individual" wherever it is possible to do so.

"Project concept"

Comment. One commenter suggested this definition should be made applicable to centers as well as projects.

Response. This definition has been deleted from the final regulations which govern financial assistance by the grants mechanism. The Department believes the "project or center concept" approach to soliciting grant proposals is overly prescriptive and does not allow applicants sufficient flexibility to design their own research to address unmet rehabilitation needs.

"Research"

Comment. One commenter suggested the words "on a continuum" be added to the last sentence of this definition.

Response. The suggestion has been adopted. The definition now recognizes that research may be basic, applied, or a combination of the two.

"Basic research;" "Applied research"

Comment. One commenter from the developmental disability field felt that the definitions of these two terms did not sufficiently distinguish one from the other. This commenter suggested that the essential difference between basic and applied research is that basic

research is undertaken without reference to any immediate application or use, whereas applied research always addresses a predetermined rehabilitation problem or need.

Response. These suggestions were accepted and the two definitions have been revised accordingly.

"State rehabilitation agency"

Comment. One commenter from a State agency suggested that the term "designated State unit" be substituted in the regulations for the term "State rehabilitation agency."

Response. This comment cannot be accepted. "Designated State unit" is a defined statutory term that has applicability to certain titles of the Act, but not Title II. "State rehabilitation agency" is defined in these regulations because of the requirement in Section 306(i) of the Act that State vocational rehabilitation agencies be given an opportunity to comment on applications for grant assistance.

§ 350.31 What is the purpose of peer review?

Comment. One commenter suggested the purpose of peer review is to insure that those activities supported by the Institute are of the highest scientific, administrative *and* technical quality.

Response. This suggestion was adopted and the word "and" has been substituted for the word "or."

Comment. One commenter called attention to the requirement in the Act (section 202(e)) that peer reviewers must be from the field of rehabilitation.

Response. This was an inadvertent omission from the proposed regulations. The final regulations reflect this requirement.

§ 350.36 What selection criteria does the Secretary use in reviewing a grant application?

Comment. It was noted that the section numbers in Subpart D were not consecutive, and it was confusing.

Response. This was an oversight and the sections in Subpart D have been renumbered. This section is now § 350.34.

Comment. One commenter pointed out that in a situation where an Application Notice does not give a specific project concept but rather identifies a national need and leaves it to each applicant to approach the solution through an individual project concept, there should be a way to weigh the relative importance of the concept.

Response. This idea has been accepted. The revised criterion entitled "national need" provides a basis for evaluating how well a proposed project or center addresses an identified national need. Consideration is given to the size and type of target population expected to benefit from the proposed research and the nature and degree of that benefit.

Comment. One commenter suggested that there should be a separate set of selection criteria for the Research and Training Centers Program.

Response. A separate set of selection criteria has been developed for the Research and Training Center Program (34 CFR 352.31) on the basis of comments received. In addition to the five EDGAR criteria described in 34 CFR 75.202–206, consideration will be given to relevance to a national need, the program of the center, and adequacy of consumer involvement.

§ 350.36(a) Project concept or national need.

Comment. Several comments from Research and Training Centers and from two professional associations within the rehabilitation field suggested that the criterion "literature review" should be combined with this criterion because an assessment of existing research in the project area is an essential first task in developing a sound scientific proposal.

Response. This comment has been accepted. The requirement for a literature review has therefore been combined with the first criterion which has been retitled "national need."

§ 350.36(b) Research design.

Comment. One commenter, a representative of a research committee from a professional association in the rehabilitation field, suggested the addition of the word "methods" after the word "statistical" in § 350.36(b)(2)(v) and the addition of the word "proposed" before the word "data" in § 350.36(b)(2)(vi).

Response. These suggestions have been accepted because the additions help to clarify and sharpen the regulations.

Comment. This same commenter and one from another association suggested a lower weight for the criterion "research design."

Response. This comment has been accepted. The point scores for some of the other criteria have also been adjusted.

§ 350.36(c) Plan of operation.

§ 350.36(d) Evaluation plan.

Comment. One commenter, who is a research scientist, suggested there is some duplication between these criteria and was somewhat unhappy with both.

Response. Previous rulemaking (34 CFR 75.202–206, Education Department General Administrative Regulations) established these two criteria, among others, as essential elements in any selection criteria used by programs within this Department. Therefore no change can be made. The Department believes, however, that these two criteria are not duplicative and are essential elements to be considered in the grant making process.

§ 350.36(g) Research utilization plan.

Comment. One commenter, a research utilization specialist, suggested combining the first two elements of this criterion (what will be delivered, and format of delivery) and adding other elements that address important concerns such as the application and costs of application of research findings and the expected effect and possible limits of utilization.

Response. This comment has been accepted. The result is an expanded clearer criterion that offers more helpful guidance to applicants and emphasizes practical applications of any research to be conducted.

§ 350.40 What are the matching requirements?

Comment. One reviewer was concerned that there is no specific percentage of matching required and that the degree of matching might become a factor in project evaluation and selection.

Response. The wording of this regulation has been changed to make clear that the degree of matching, if any, will be determined at the time of the grant award and is not part of any selection criterion or selection factor.

§ 351.1 What is the Research and Demonstration Projects Program?

Comment. One commenter suggested the wording of this introductory clause would be more accurate if the first words "A research project under" were deleted.

Response. This suggestion was adopted to more accurately express the purposes of this research program.

§ 351.10(a) What types of projects are authorized under this program?

Comment. Two commenters, both from professional associations, suggested the words "medical and other" be deleted from the beginning of this paragraph and the word "medical" inserted after the words "analysis of" in the second clause of this paragraph. This was suggested as a way of improving the awkwardness of the language.

Response. These comments were adopted.

Comment. One commenter suggested that demographic studies should be included under the types of research and demonstration projects able to be undertaken.

Response. This comment has been accepted. Demographic studies can be considered to be "related activities" which hold promise of increasing rehabilitation knowledge, as authorized under section 204(a) of the Act.

§ 351.10(b) Specialized research activities.

Comment. One commenter suggested the addition of "Management, Planning and Evaluation in the State-Federal Rehabilitation Program" to the list of specialized research activities in this subparagraph.

Response. This comment cannot be accepted since all the specialized research activities listed in the regulation are explicitly authorized by statute. No additions can be made.

§ 351.31 What selection criteria are used under this program?

Comment. Comments on selection criteria have been discussed earlier in this analysis. Only two commenters addressed themselves to the distribution of weights in this program. Both suggested a concentration of weights in the first two criteria.

Response. It was not possible to adopt the exact distribution proposed, but the first two criteria are the most heavily weighted.

§ 352.1 What is the Rehabilitation Research and Training Center Program?

Comment. One reviewer felt this section did not adequately reflect the purpose of section 204(b)(1) of the Act.

Response. Revised wording has been substituted to more accurately reflect the three major statutory purposes of this program.

§ 352.2 Who is eligible for assistance under this program?

Comment. Because the description of centers in § 352.10 does not authorize "joint projects with * * * and private industry," as does § 353.10(b), one commenter felt that the Research and Training Centers (RTC) Program was being unnecessarily limited.

Response. Section 352.4 cross references § 350.4, which indicates that grants can be made to private agencies (which includes private industry). Since the RTC program can only support *center* grants, the omission of the words "joint *projects* with * * * and private industry" is appropriate. This does not preclude an RTC grantee from engaging in joint research activities with any organization that has the adequate expertise, nor does it preclude NIHR from making a grant under its joint project authority (§ 351.10) with private industry.

Comment. One commenter from an RTC suggested that "the private sector" should not be candidates for RTC grants since that would compromise the mission and efforts of current grantees and be inconsistent with the statutory requirement that centers be operated in collaboration with institutions of higher education.

Response. Under the 1978 amendments to the Act, private agencies and organizations, for the first time, are eligible for grant assistance. We do not believe private sector eligibility is inconsistent with the purposes or requirements of the Research and Training Center Program.

§ 352.10 What types of centers are authorized under this program?

Comment. In analyzing the comments on this section, it was discovered that the requirement that Research and Training Centers be "operated in collaboration with institutions of higher education" had been inadvertently omitted in the NPRM.

Response. This requirement has been included in § 352.10(a) of the final regulations.

§ 352.10(a)

Comment. Two commenters, each from a different professional association, expressed confusion about whether centers are required to develop practical applications for all of their research findings, including those in basic research.

Response. Need for clarification is accepted. The revised regulation encourages, but does not require, grantees to develop practical applications for all research, regardless of its nature.

Comment. One commenter, a university based director of training, suggested that requiring RTCs to conduct research based on the particular needs of handicapped individuals in the geographic area served by the center seems to restrict certain centers which have activities of a national scope.

Response. The statute requires that centers consider the rehabilitation needs of its community in planning its program of research. This does not preclude the use of other sources of needs identification to help select problems for research study. The fact that research is tailored to the needs of a particular geographic region does not mean it cannot also be of national interest or scope.

Comment. Three commenters questioned the absence of any requirement for an adivsory council.

Response. This suggestion has not been accepted because of the Department's ongoing efforts to reduce regulatory burdens by eliminating from its regulations as many requirements as possible that are not imposed by statute. Advisory councils are not required by statute. The Department appreciates the value of communication between centers and other areas of the rehabilitation community, however, and has developed a new selection criterion which evaluates the adequacy of these communications without requiring any particular communication mechanism or process.

§ 352.31 What selection criteria are used under this program?

Comment. A number of commenters suggested that because of the special nature of an RTC organization and its methods of research, there should be a separate set of selection criteria for this program.

Response. These comments have been accepted. Two new criteria have been developed that are unique to the Research and Training Center program: "program of the center," which replaces "research design," and "adequacy of consumer involvement."

§ 352.31(b) Research design.

Comment. Several commenters from Research and Training Centers and from professional associations suggested that this criterion was inappropriate for evaluation of a proposal to fund a Research and Training Center and that it be replaced by a criterion which would evaluate the "program of the center." This criterion would consist of such elements as the degree to which the center's research and training activities are based on a group of related research core areas that help to serve the needs of the affected target population; the soundness of the center's methodological approach to conducting its research; and the degree to which research results will be assessed in a service setting.

Response. This comment was accepted. The new selection criterion "program of the center" contains most of the elements suggested by the various commenters.

Comment. Differences of opinion were expressed by a number of commenters about the weight of this and other selection criteria. In general, most expressed the view that the first

criterion should have a higher point score and the second criterion a lower one.

Response. Five points were added to the first criterion and five removed from the second criterion.

§ 352.36(g) Research utilization plan.

Comment. Three commenters from Research and Training Centers requested that this criterion be eliminated and its elements subsumed within the criterion "program of the center."

Response. This comment was accepted. Those aspects of research utilization that relate to disseminating information and encouraging the use of research results are now contained in the newly developed criterion "program of the center."

Comment. Several comments from Research and Training Center groups asked that an additional criterion be developed for Research and Training Centers that requires each center to have an advisory council and that assesses the adequacy of that council in terms of broad-based membership and its ability to provide linkages with the rehabilitation community. It was pointed out that for many years this program has required each Research and Training Center to have an advisory council in order to assist in identifying research and training priorities and in communicating the research findings that result from the center's activities.

Response. These comments have been partially accepted. A new criterion entitled "adequacy of consumer involvement" has been developed which largely reflects the concerns of the commenters without specifying what particular mechanism should be used to facilitate grantee communication and linkages with the rehabilitation community.

§ 353.10(a) What types of projects are authorized under this program?

Comment. One commenter suggested adding language to this section that would indicate that Rehabilitation Engineering Centers can conduct research in independent living or research related to the rehabilitation of handicapped persons aged sixty or older.

Response. This comment has been accepted and the regulations now indicate that rehabilitation research of all types and benefitting persons of any age can be conducted.

§ 353.31 What selection criteria are used under this program?

Comment. Two commenters from Research and Training Centers suggested that the selection criteria for the Rehabilitation Engineering Program should be the same as that for the Rehabilitation Research and Training Center Program.

Response. Because the Rehabilitation Engineering Program (which contains all the engineering and technology research of the Institute) funds both projects and centers whose research is technological in nature, it is felt that the criterion "research design" is more appropriate to this program than the criterion "program of the center." Therefore these suggestions are not accepted.

§ 354.10 What types of centers are authorized under this program?

Comment. One commenter suggested that many of the provisions in this section were overly prescriptive and should be removed from the regulations.

Response. This comment was accepted. The description of center activities has been streamlined and now reflects only those requirements imposed by statute or considered programmatically essential.

§ 354.31 What selection criteria are used under this program?

Comment. One commenter, an administrator, suggested that because of the similarity of this program to the RTC program (34 CFR Part 352) there should be similar selection criteria.

Response. This comment has been accepted. The selection criteria for the Rehabilitation Research and Training Center Program and the Model Research and Training Program are virtually identical as are the point scores for each criterion.

§ 355.10 What types of activities are authorized under this program?

Comment. One commenter, an administrator, noted that one important aspect of section 204(b)(5) of the Act is international information exchange and observed that the NPRM description of authorized activities under 34 CFR Part 355 did not include any reference to this activity. It was suggested that this omission be corrected.

Response. This comment has been accepted. § 355.10 now indicates that authorized activities under the Knowledge Dissemination and Utilization Program include domestic *and international* research utilization and information exhange.

§ 356.41 Employment during fellowship period.

Comment. Only one comment was received on the fellowship program as described in the NPRM. That commenter (an assocation representative) interpreted the requirement that research fellows be engaged full time on fellowship activities to prohibit study during the fellowship period.

Response. A change has been made in this regulation to indicate that research fellows may work part time if agreed to by the Secretary at the time of the award. Normally, however, research fellows are expected to work full time on authorized fellowship activities. Authorized activities may include some training or educational study if consistent with the overall purpose of the fellowship program which is to obtain the assistance of highly qualified individuals to perform rehabilitation research activities. The research fellowship program is not intended to be a student support program.

The Secretary amends Title 34 of the Code of Federal Regulations by removing Subpart D of Part 352 and adding new Parts 350, 351, 352, 353, 354, 355 and 356 to read as follows:

PART 350—HANDICAPPED RESEARCH: GENERAL PROVISIONS

Subpart A—General

Sec.

350.1 Handicapped research.
350.2 Who is eligible for assistance under these programs?
350.3 What regulations apply to these programs?
350.4 What definitions apply to these programs?

Subpart B—[Reserved]

Subpart C—How Does One Apply for a Grant?

350.20 What are the application procedures for these programs?

Subpart D—How Does the Secretary Make a Grant?

350.30 To whom does the Secretary refer an application?
350.31 What is the purpose of peer review?
350.32 What is the composition of a peer review panel?
350.33 How does the Secretary evaluate an application?
350.34 What selection criteria does the Secretary use in reviewing a grant application?

Subpart E—What Conditions Apply to a Grantee?

350.40 What are the matching requirements?

Authority. Title II of the Rehabilitation Act of 1973 (Pub. L. 93-112), as amended by Pub. L. 95-602 (29 U.S.C. 760-762; 92 Stat. 2982-2986).

Subpart A—General

§ 350.1 Handicapped research.

(a) The purposes of activities funded by the Institute are to—

(1) Support the conduct of research and demonstration projects, centers, and related activities that address rehabilitation problems in areas ranging from vocational rehabilitation to independent living, including programs of rehabilitation for handicapped children and handicapped persons aged sixty or older and programs that train persons who provide rehabilitation services or conduct research;

(2) Facilitate the distribution of information concerning developments in rehabilitation procedures, methods, and devices;

(3) Improve the distribution of technological devices and equipment for handicapped individuals and other handicapped persons; and

(4) Increase the scientific and technological information presently available in the field of rehabilitation through the support of applied research and basic research where related to rehabilitation techniques or services;

(b) The Secretary awards financial assistance through six types of programs—

(1) Research and demonstration projects (34 CFR Part 351);

(2) Research grants for establishment and operation of rehabilitation research and training centers (34 CFR Part 352);

(3) Research grants for establishment and operation of rehabilitation engineering programs (34 CFR Part 353);

(4) Research grants for establishment and operation of model training centers (34 CFR Part 354);

(5) Knowledge dissemination and research utilization projects (34 CFR Part 355); and

(6) Research fellowships (34 CFR Part 356).

(Secs. 200 and 204; (209 U.S.C. 760 and 762))

§ 350.2 Who is eligible for assistance under these programs?

The following agencies and organizations are eligible for grants or contracts as appropriate under these programs:

(a) State and public agencies or organizations;

(b) Private agencies or organizations; and

(c) Institutions of higher education.

(Sec. 204; (29 U.S.C. 762))

§ 350.3 What regulations apply to these programs?

The following regulations apply to grants under the Handicapped Research Programs—

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR Part 75 (Direct Grant Programs) and 34 CFR Part 77 (Definitions);

(b) The regulations in this Part, 34 CFR Part 350;

(c) The regulations in 34 CFR Parts 351, 352, 353, 354, or 355, as appropriate; and

(d) The regulations in 45 CFR Part 46 (Protection of Human Subjects).

(Secs. 202, 204; (29 U.S.C. 761a, 762))

§ 350.4 What definitions apply to these programs?

(a) The following definitions in 34 CFR Part 77 apply to the programs under Handicapped Research—

Applicant.
Application.
Award.
Budget Period.
Department.
EDGAR.
Grant Period.
Nonprofit.
Nonpublic.
Preschool.
Private.
Project.
Project Period.
Public.
Secretary.
State.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

(b) The following definitions also apply to programs under Handicapped Research—

"Act" means the Rehabilitation Act of 1973 (Public Law 93–112), as amended.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

"Core area" means a discrete area of research consisting of a group of related research projects or studies which contribute cumulatively to the resolution of practical rehabilitation problems.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

"Demonstration" means the application of results derived from previous research, testing, or practice for purposes of establishing the reliability, indicating the validity, or determining the cost effectiveness of new rehabilitation procedures.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

"Development" means the systematic use of knowledge and understanding gained from research, directed toward creating useful materials, devices, systems, or methods, including design and development of prototypes and processes.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

"Director" means Director of the National Institute of Handicapped Research.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)((1)))

"Fellowship" means a financial award to obtain the assistance of highly qualified research fellows from the United States and foreign countries. It is not a grant.

(Sec. 202(d); (29 U.S.C. 761a(d)))

"Handicapped individual" means any individual who (1) has a physical or mental disability which for such individual constitutes or results in a substantial handicap to employment; and (2) can reasonably be expected to benefit in terms of employability from the provision of vocational rehabilitation services.

(Sec. 7(7)a; (29 U.S.C. 706(7)(A)))

"Institute" means the National Institute of Handicapped Research.

(Sec. 202(a); (29 U.S.C. 761a(a)))

"Research" means intensive systematic study directed toward new or fuller scientific knowledge or understanding of the subject or problem studied. Research is classified on a continuum from basic to applied.

(1) *"Basic research"* is research in which the investigator is concerned primarily with gaining new knowledge or understanding of a subject without reference to any immediate application or utility.

(2) *"Applied research"* is research in which the investigator is primarily interested in developing new knowledge, information or understanding which can be applied to a predetermined rehabilitation problem or need. Applied research builds on selected findings from basic research.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

"Research utilization" means activities seeking to link research findings to practical applications in planning, policy-making, program administration, and service practice in the delivery of services to handicapped persons.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

"State rehabilitation agency" means the sole State agency designated to administer (or supervise local administration of) the State plan for vocational rehabilitation services. The term includes the State agency for the blind, if designated as the State agency with respect to that part of the plan relating to the vocational rehabilitation of blind individuals.

(Sec. 101(a)(1)(A); (29 U.S.C. 721(a)(1)(A)))

"Target population" means the group of individuals, organizations, or other entities expected to be affected by the results of specific research. More than one target group may be involved since research results may affect those who

receive services, provide services, or administer services.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

"Training" means a planned and systematic sequence of instruction under competent supervision which is designed to impart predetermined skills and knowledge.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

Subpart B [Reserved]

Subpart C—How Does One Apply for a Grant?

§ 350.20 What are the application procedures for these programs?

An applicant for assistance under 34 CFR Parts 351, 352, 353, 354, or 355 shall submit a copy of the application to the State rehabilitation agency for comment in accordance with the procedures in EDGAR §§ 75.155–75.159.

(Secs. 204c, 306(i); (29 U.S.C. 762(c), 766(a)))

Subpart D—How Does the Secretary Make a Grant?

§ 350.30 To whom does the Secretary refer an application?

The Secretary refers each application for a grant under the Handicapped Research Programs to a peer review panel established by the Secretary. Peer review panels review applications for the Secretary on the basis of selection criteria described in §§ 350.34, 352.31, 354.31, or 355.31, as appropriate.

(Sec. 202(e); (29 U.S.C. 761a(e)))

§ 350.31 What is the purpose of peer review?

The purpose of peer review is to insure that those activities supported by the Institute are of the highest scientific, administrative, and technical quality and that the results may be widely applied to appropriate target populations and rehabilitation problems.

(Sec. 202(e); (29 U.S.C. 761a(e)))

§ 350.32 What is the composition of a peer review panel?

(a) To the maximum extent possible, the Secretary selects as members of a peer review panel non-Federal scientists and other experts in the field of rehabilitation qualified by training and experience of a particular scientific, administrative, or technical nature to give expert advice on the merit of grant applications.

(b) In selecting an individual for membership on a peer review panel, the Secretary takes into account, among other factors, the following:

(1) The level of formal scientific or technical education completed by the individual;

(2) The extent to which the individual has engaged in scientific, technical, or administrative activities appropriate to the category of applications that the panel will consider, the role of the individual in those activities, and the quality of those activities; and

(3) The recognition received by the individual as reflected by awards and other honors from scientific and professional agencies and organizations outside the Department.

(Sec. 202(e); (29 U.S.C. 761a(e)))

§ 350.33 How does the Secretary evaluate an application?

(a) The Secretary evaluates an application under 34 CFR Parts 351 and 353 on the basis of the selection criteria in § 350.34. The Secretary evaluates an application under 34 CFR Parts 352, 354, or 355 on the basis of the selection criteria in §§ 352.31, 354.31 or 355.31, as appropriate.

(b) The Secretary awards up to 100 possible points for these criteria.

(c) The maximum possible score for each criterion is indicated in parenthesis after the descriptive title of the criterion. For some of the criteria there is also a designation of the maximum score assigned to each of the component elements of those criteria.

(Sec. 202e; (29 U.S.C. 761a(e)))

§ 350.34 What selection criteria does the Secretary use in reviewing grant applications?

The selection criteria to be used for evaluating applications under the Research and Demonstration Projects Program (34 CFR Part 351) and the Rehabilitation Engineering Program (34 CFR Part 353) are described as follows:

(a) *National need* (20 points) (1) The Secretary reviews each application for information that shows how well the proposed project or center will address a national need identified in an Application Notice published in the Federal Register.

(2) The Secretary looks for information that shows—

(i) An adequate review of the literature showing what research has already been conducted in areas related to the identified national need (5 of the 20 points);

(ii) The size and type of target population(s) expected to benefit from the proposed research (5 of the 20 points); and

(iii) The nature and degree of that benefit (impact on the target population(s)) (10 of the 20 points);

(b) *Research design* (25 points). (1) The Secretary reviews each application for information that shows the quality of the research design of the project or center.

(2) The Secretary looks for information that shows—

(i) Clarity and achievability of the project or center objectives (5 of the 25 points);

(ii) Validity of the procedures to be utilized in achieving each objective (4 of the 25 points);

(iii) Precise definitions of terms where necessary (4 of the 25 points);

(iv) Description of subject population and appropriateness of sample size (4 of the 25 points);

(v) Appropriateness of statistical methods and instruments to be used (4 of the 25 points); and

(vi) Adequacy of proposed data analysis and basis for the conclusions reached (4 of the 25 points).

(c) *Plan of operation* (15 points). See 34 CFR 75.202.

(d) *Evaluation plan* (5 points). See 34 CFR 75.205.

(e) *Quality of key personnel* (10 points). See 34 CFR 75.203.

(f) *Adequacy of resources* (10 points). See 34 CFR 75.206.

(g) *Research utilization plan* (10 points). (1) The Secretary reviews each application for information that shows the quality of the research utilization plan.

(2) The Secretary looks for information that shows—

(i) The format in which results, findings, or outcomes will be disseminated to the rehabilitation community;

(ii) How the research results may be applied and the costs of its application;

(iii) The expected effect of using the research findings;

(iv) The possible limitation of the findings and any other factors that might promote or inhibit its use; and

(v) The degree of effort needed and the means necessary to promote the adoption of the findings.

(h) *Budget and cost effectiveness* (5 points). See 34 CFR 75.204.

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761a(i)(1)))

Subpart E—What Conditions Apply to a Grantee?

§ 350.40 What are the matching requirements?

(a) The Secretary may make grants to pay for part of the costs of research and demonstration projects which bear directly on the development of procedures, methods, and devices to assist in the provision of vocational and other rehabilitation services. Each grantee must participate in the costs of

such projects. The specific amount of cost sharing to be borne by each grantee will be negotiated at the time of the award and is not a factor to be considered in the selection process.

(b) The Secretary may make grants to pay for part or all of the costs of the following activities: establishment and support of Rehabilitation Research and Training Centers, Rehabilitation Engineering Centers, and Model Training Centers; research projects concerned with spinal cord injury, end-stage renal disease, telecommunications, rehabilitation of handicapped children and handicapped individuals who are aged sixty or older, attracting and retaining rehabilitation professionals in rural areas, producing and distributing captioned video cassettes for deaf individuals, and innovative methods of providing services for handicapped children and their parents; joint projects with other Federal agencies and private industry; and international programs of research, demonstration, training, exchange of experts and technical assistance. The Secretary will determine at the time of the award whether the grantee must pay a portion of the project or center costs.

(Sec. 204; (29 U.S.C. 762))

PART 351—HANDICAPPED RESEARCH: RESEARCH AND DEMONSTRATION PROJECTS

Subpart A—General

Sec.

351.1 What is the Research and Demonstration Projects Program?
351.2 Who is eligible for assistance under this program?
351.3 What regulations apply to this program?
351.4 What definitions apply to this program?

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

351.10 What types of projects are authorized under this program?

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

351.30 How is peer review conducted under this program?
351.31 What selection criteria are used under this program?
351.32 What are the priorities for funding under this program?

Authority: Title II of the Rehabilitation Act of 1973 (Pub. L. 93-112) as amended by Pub. L. 95-602 (29 U.S.C. 760-762; 92 Stat. 2982-2966)

Subpart A—General

§351.1 What is the research and demonstration projects program?

This program is designed—

(a) To assist in the provision of vocational and other rehabilitation services to handicapped individuals, especially the most severely handicapped, through planning and conducting of research and demonstration projects, and specialized research activities;

(b) To cooperate with and assist in developing and sharing information found useful in other nations in the rehabilitation of handicapped individuals; and

(c) To assist in development of solutions to problems encountered by handicapped individuals in their daily activities, especially problems related to employment.

(Secs. 202(g)(1); 204; (29 U.S.C. 761a(g)(1), 762))

§351.2 Who is eligible for assistance under this program?

Those agencies and organizations eligible to apply under this program are described in 34 CFR 350.2.

(Sec. 204; (29 U.S.C. 762))

§351.3 What regulations apply to this program?

The regulations referenced in 34 CFR 350.3 apply to this program.

(Secs. 202 and 204; (29 U.S.C. 761a, 762))

§351.4 What definitions apply to this program?

The definitions listed in 34 CFR 350.4 apply to this program.

(Sec. 202(i)(l); (29 U.S.C. 761a(i)(l)))

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

§ 351.10 What types of projects are authorized under this program?

The Research and Demonstration Projects Program provides financial assistance for the following types of projects—

(a) Research and demonstration projects as follows—

Scientific, technical, methodological, and other investigations into the nature of disability, methods of analyzing it, and restorative techniques, including basic research where related to rehabilitation techniques or services; studies and analyses of medical, industrial, vocational, social, psychiatric, psychological, economic and other factors affecting rehabilitation of handicapped individuals; research concerned with the special problems of homebound and institutionalized individuals; other research related to problems encountered by handicapped individuals in their daily activities, especially problems related to employment; and demographic studies of handicapped individuals.

(b) Specialized research activities as follows—

(1) Spinal cord injury research and demonstrations;

(2) End-stage renal disease research and demonstrations;

(3) International research, demonstrations, training, and exchange of experts and technical assistance except when related to technology, engineering, research utilization, or research dissemination;

(4) Joint projects with other Federal agencies and private industry except when related to technology or engineering;

(5) Research related to handicapped children and handicapped individuals aged 60 years and older;

(6) Projects to develop and demonstrate methods to attract and retain professionals to serve in rural areas in the rehabilitation of handicapped individuals; and

(7) Research and demonstration projects related to the provision of services to handicapped preschool children.

(Secs. 204(a), 204(b) (3)-(5), 204(b) (7)-(9), 204(b)(11), 202(b)(8); 29 U.S.C. 762(a), 762(b) (3)-(5), 762(b) (7)-(9), 762(b)(11), 761a(b)(8))

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

§ 351.30 How is peer review conducted under this program?

Peer review is conducted under this program in accordance with 34 CFR 350.30-350.32.

(Sec. 202(e); (29 U.S.C. 761a(e))

§ 351.31 What selection criteria are used under this program?

(a) *National need* (20 points). See § 350.34(a).

(b) *Research design* (25 points). See § 350.34(b).

(c) *Plan of operation* (15 points). See 34 CFR 75.202.

(d) *Evaluation plan* (5 points). See 34 CFR 75.205.

(e) *Quality of key personnel* (10 points). See 34 CFR 75.203.

(f) *Adequacy of resources* (10 points). See 34 CFR 75.206.

(g) *Research utilization plan* (10 points). See § 350.34(g).

(h) *Budget and cost effectiveness* (5 points). See 34 CFR 75.204.

(The Secretary awards up to 100 possible points under these criteria.)

(Secs. 202(e) and 202(i)(1); [29 U.S.C. 761a(e) and 761a(i)(1)])

§ 351.32 What are the priorities for funding under this program?

(a) The Secretary may from time to time reserve funds to support some or all of the types of projects listed in § 351.10.

(b) The Secretary advises the public of these priorities through an Application Notice published in the Federal Register.

(Secs. 202(g), 204; [29 U.S.C. 761a(g), 762])

Part 352—Handicapped Research: Rehabilitation Research and Training Centers

Subpart A—General

Sec.

352.1 What is the Rehabilitation Research and Training Centers program?

352.2 Who is eligible for assistance under this program?

352.3 What regulations apply to this program?

352.4 What definitions apply to this program?

Subpart B—What Kinds of Activities Does the Department Assist Under This Program?

352.10 What types of centers are authorized under this program?

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

352.30 How is peer review conducted under this program?

352.31 What selection criteria are used under this program?

352.32 What are the priorities for funding under this program?

Authority: Title II of the Rehabilitation Act of 1973 (Pub. L. 93–112), as amended by Pub. L. 95–602 (29 U.S.C. 760–762; 92 Stat. 2982–2966).

Subpart A—General

§ 352.1 What is the rehabilitation research and training centers program?

This program is designed to support the establishment and operation of Rehabilitation Research and Training Centers for the purpose of—

(a) Providing training (including graduate training) to research and other rehabilitation personnel and to assist individuals to more effectively provide rehabilitation services; and

(b) Conducting coordinated and advanced programs of rehabilitation research.

(Sec. 204(b)(1); [29 U.S.C. 762(b)(1)])

§ 352.2 Who is eligible for assistance under this program?

Those agencies and organizations eligible to apply under this program are described in 34 CFR 350.2.

(Sec. 204; [29 U.S.C. 762])

§ 352.3 What regulations apply to this program?

The regulations referenced in 34 CFR 350.3 apply to this program.

(Secs. 202 and 204; [29 U.S.C. 761a, 762])

§ 352.4 What definitions apply to this program?

The definitions listed in 34 CFR 350.4 apply to this program.

(Sec. 202(i)(1); [29 U.S.C. 761a(i)(1)])

Subpart B—What Kinds of Activities Does the Department Assist Under This Program?

§ 352.10 What types of centers are authorized under this program?

(a) Rehabilitation research and training centers must be operated in collaboration with institutions of higher education and must be associated with a rehabilitation service setting which fosters a close working relationship between researchers service delivery personnel, and service recipients. Each center must conduct a program of research and training activities.

(b) The research to be conducted at each center shall be determined on the basis of the particular needs of handicapped individuals in the geographic area served by the center. It may include basic research, where related to identifiable rehabilitation techniques or services, and applied rehabilitation research; research regarding the medical, psychological, and social aspects of rehabilitation; and research related to vocational rehabilitation, independent living, and the rehabilitation of handicapped children and handicapped individuals aged sixty or older. Each center is encouraged to develop practical applications for all of its research findings.

(c) The purpose of training programs at a center is to disseminate and encourage the utilization of new rehabilitation knowledge, findings and techniques resulting from its research activities. These goals may be accomplished by introducing rehabilitation education into related University undergraduate and graduate curricula and by providing short-term, in-service and continuing education training programs to improve the skills of professionals, paraprofessionals, consumers, parents, and other personnel involved in rehabilitation.

(d) A center may use part of its grant funds to provide to handicapped individuals services that are connected with its research and training activities.

(Sec. 204(b)(1); [29 U.S.C. 762(b)(1)])

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

§ 352.30 How is peer review conducted under this program?

Peer review is conducted under this program in accordance with 34 CFR 350.30–350.32.

(Sec. 202(e); [29 U.S.C. 761a(e)])

§ 352.31 What selection criteria are used under this program?

(a) *National need* (10 points). See § 350.34(a).

(b) *Program of the center* (30 points). (1) The Secretary reviews each application for information that shows the quality of the proposed center program.

(2) The Secretary looks for information that shows—(i) The degree to which the research and training activities of the center are based upon a group of related research core areas that help to meet the needs of the target population(s) it serves (6 of the 30 points);

(ii) The scientific validity of the center's methodological approach to conducting its research and training (6 of the 30 points);

(iii) The degree to which research results will be assessed in a service setting (6 of the 30 points);

(iv) The adequacy of procedures for disseminating research results (6 of the 30 points); and

(v) The degree to which the center will encourage the use of new knowledge, technology and devices in a variety of service settings (6 of the 30 points).

(c) *Plan of operation* (15 points). See 34 CFR 75.202.

(d) *Evaluation plan* (10 points). See 34 CFR 75.205.

(e) *Quality of key personnel* (10 points). See 34 CFR 75.203.

(f) *Adequacy of resources* (10 points). See 34 CFR 75.206.

(g) *Budget and cost effectiveness* (10 points). See 34 CFR 75.204.

(h) *Adequacy of consumer involvement* (5 points).

(1) The Secretary reviews each application for information that shows the adequacy of procedures for securing advice from and transmitting information to appropriate members of the rehabilitation community.

(2) The Secretary looks for information that shows—

(i) The nature and extent of communications with representatives of rehabilitation related public and voluntary agencies, labor, industry, consumers, State rehabilitation agencies, other appropriate agencies, and regional offices of RSA; and

(ii) The degree to which these communications can assist the center in identifying research and training priorities and in sharing the results of its research and training activities.

(The Secretary awards up to 100 possible points under these criteria)

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761a(i)(1)))

§ 352.32 What are the priorities for funding under this program?

(a) The Secretary may from time to time reserve funds to support some or all of the types of centers listed in 34 CFR 352.10.

(b) The Secretary advises the public of these priorities through an Application Notice in the Federal Register.

(Secs. 202(g) and 204; (29 U.S.C. 761a(g) and 762))

PART 353—HANDICAPPED RESEARCH: REHABILITATION ENGINEERING PROGRAM

Subpart A—General

Sec.

353.1 What is the Rehabilitation Engineering Program?
353.2 Who is eligible for assistance under this program?
353.3 What regulations apply to this program?
353.4 What definitions apply to this program?

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

353.10 What kinds of centers and projects are authorized under this program?

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

353.30 How is peer review conducted under this program?
353.31 What selection criteria are used under this program?
353.32 What are the priorities for funding under this program?

Authority: Title II of the Rehabilitation Act of 1973 (Pub. L. 93-112), as amended by Pub. L. 95-602 (29 U.S.C. 760-762; 92 Stat. 2962-2966)

Subpart A—General

§ 353.1 What is the rehabilitation engineering program?

This program is designed to support—

(a) Development of innovative methods of applying advanced medical technology, scientific achievement, and psychiatric, psychological, and social knowledge to solve rehabilitation problems;

(b) Development of systems of technical and engineering information exchange and coordination; and

(c) Improvement in the distribution of technology devices and equipment to handicapped individuals.

(Secs. 200(3), 204(b)(2); (29 U.S.C. 760(3), 762(b)(2)))

§ 353.2 Who is eligible for assistance under this program?

Those agencies and organizations eligible to apply under this program are set forth in 34 CFR 350.2.

(Sec. 204; (29 U.S.C. 762))

§ 353.3 What regulations apply to this program?

The regulations referenced in 34 CFR 350.3 apply to this program.

(Secs. 202 and 204; (29 U.S.C. 761a and 762))

§ 353.4 What definitions apply to this program?

The definitions listed in 34 CFR 350.4 apply to this program.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

§ 353.10 What types of projects are authorized under this program?

The Rehabilitation Engineering Research program provides financial assistance for—

(a) Establishment and support of Rehabilitation Engineering Research Centers.

(i) Each center must be located in a clinical rehabilitation setting which fosters a close working relationship between researchers, service delivery personnel and service recipients;

(ii) Centers must cooperate with State and other appropriate agencies in developing systems of information exchange and coordination to promote the prompt utilization of research findings;

(iii) Centers may conduct research concerning the medical management of disabling conditions, the individual's adjustment to functional limitations and to the environment, service delivery systems, or other research of an engineering or technological nature, including basic research where related to rehabilitation techniques or services; and

(iv) The research activities of a center may address the rehabilitation problems of handicapped persons of any age.

(b) Research and demonstration projects of an engineering or technological nature as follows—

(i) Studies, analyses, and demonstrations of architectural and engineering design adapted to meet the special needs of handicapped individuals, and projects to reduce environmental barriers;

(ii) Cooperative research projects with public or private agencies and organizations to produce new equipment and devices for solving rehabilitation problems;

(iii) Projects concerning the use of existing telecommunication systems;

(iv) International research, demonstrations, training and exchange of experts and technical assistance when related to technology and engineering;

(v) A project to assess the feasibility of establishing a center to produce and distribute captioned video cassettes to deaf individuals; and

(vi) Joint projects with other Federal agencies and with private industry when related to technology or engineering.

(Secs. 204(b)(2), 204(a), 204(b)(5)-(7), 204(b)(10); (29 U.S.C. 762(b)(2), 762(a), 762(b)(5)-(7), 762(b)(10)))

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

§ 353.30 How is peer review conducted under this program?

Peer review is conducted under this program in accordance with 34 CFR 350.30-350.32.

(Sec. 202(e); (29 U.S.C. 761a(e)))

§ 353.31 What selection criteria are used under this program?

(a) *National need* (20 points). See § 350.34(a).

(b) *Research design* (25 points). See § 350.34(b).

(c) *Plan of operation* (15 points). See 34 CFR 75.202.

(d) *Evaluation plan* (5 points). See 34 CFR 75.205.

(e) *Quality of key personnel* (10 points). See 34 CFR 75.203.

(f) *Adequacy of resources* (10 points). See 34 CFR 75.206.

(g) *Research utilization plan* (10 points). See § 350.34(g).

(h) *Budget and cost effectiveness* (5 points). See 34 CFR 75.204.

(The Secretary awards up to 100 possible points under these criteria)

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761a(i)(1)))

§ 353.32 What are the priorities for funding under this program?

(a) The Secretary may from time to time reserve funds to support some or all of the types of research centers or projects listed in 34 CFR 353.10.

(b) The Secretary advises the public of these priorities through an Application Notice published in the Federal Register.

(Secs. 202(g) and 204; (29 U.S.C. 761a(g) and 762))

PART 354—HANDICAPPED RESEARCH: MODEL RESEARCH AND TRAINING PROGRAM

Subpart A—General

Sec.

354.1 What is the Model Research and Training Program?
354.2 Who is eligible for assistance under this program?
354.3 What regulations apply to this program?
354.4 What definitions apply to this program?

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

354.10 What types of centers are authorized under this program?

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

354.30 How is peer review conducted under this program?
354.31 What selection criteria are used under this program?
354.32 What are the priorities for funding under this program?

Authority: Title II of the Rehabilitation Act of 1973 (Pub. L. 93-112), as amended by Pub. L. 95-602 (29 U.S.C. 760-762; 92 Stat. 2962-2966)

Subpart A—General

§ 354.1 What is the model research and training program?

This program is designed to develop and utilize more advanced and effective methods of evaluating and developing the employment potential of handicapped individuals.

(Sec. 204(b)(12); (29 U.S.C. 762(b)(12)))

§ 354.2 Who is eligible for assistance under this program?

Those agencies and organizations eligible to apply under this program are set forth in 34 CFR 350.2.

(Sec. 204; (29 U.S.C. 762))

§ 354.3 What regulations apply to this program?

The regulations referenced in 34 CFR 350.3 apply to this program.

(Secs. 202 and 204; (29 U.S.C. 761a and 762))

§ 354.4 What definitions apply to this program?

The definitions listed in 34 CFR 350.4 apply to this program.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

§ 354.10 What types of centers are authorized under this program?

The model research and training program provides financial assistance for establishing and operating model training centers.

(a) Each center must be associated with a rehabilitation service setting which fosters a close working relationship between researchers, service providers and service recipients.

(b) Each model center must—

(1) Research and develop model procedures for testing and evaluating the employment potential of handicapped individuals;

(2) Research and develop model new approaches for job placement of handicapped individuals, including new follow-up procedures relating to such placement;

(3) Research and develop model training programs to teach handicapped individuals skills which will lead to appropriate employment;

(4) Provide training and continuing education to improve the skills of personnel involved with the employment of handicapped individuals; and

(5) Provide information services regarding education, training, employment and job placement for handicapped individuals.

(Sec. 204(b)(12); (29 U.S.C. 762(b)(12)))

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

§ 354.30 How is peer review conducted under this program?

Peer review is conducted under this program in accordance with 34 CFR 350.30-350.32.

(Sec. 202(e); (29 U.S.C. 761a(e)))

§ 354.31 What selection criteria are used under this program?

(a) *National need* (10 points). See § 350.34(a).

(b) *Program of the center* (30 points).

(1) The Secretary reviews each application for information that shows the quality of the proposed center program.

(2) The Secretary looks for information that shows—

(i) The degree to which the research and training activities of the center are based upon a group of related research core areas that help to meet the needs of the target population(s) it serves (6 of the 30 points);

(ii) The scientific validity of the center's methodological approach to conducting its research and training (6 of the 30 points);

(iii) The degree to which research and training results will be assessed in a service setting (6 of the 30 points);

(iv) The adequacy of procedures for disseminating research results and training materials (6 of the 30 points); and

(v) The capability of the center to provide information services regarding the education, training, employment, and job placement of handicapped individuals (6 of the 30 points).

(c) *Plan of operation* (15 points). See 34 CFR 75.202.

(d) *Evaluation plan* (10 points). See 34 CFR 75.205.

(e) *Quality of key personnel* (10 points). See 34 CFR 75.203.

(f) *Adequacy of resources* (10 points). See 34 CFR 75.206.

(g) *Budget and cost effectiveness* (10 points). See 34 CFR 75.204.

(h) *Adequacy of consumer involvement* (5 points). See § 352.31(h).

(The Secretary awards up to 100 possible points under these criteria)

(Secs. 202(e) and 202(i)(1); (29 U.S.C. 761a(e) and 761a(i)(1)))

§ 354.32 What are the priorities for funding under this program?

(a) The Secretary may from time to time reserve funds to support the types of research activities listed in 34 CFR 354.10(b).

(b) The Secretary advises the public of these priorities through an Application Notice published in the Federal Register.

(Secs. 202(g) and 204; (29 U.S.C. 761a(g) and 762)).

PART 355—HANDICAPPED RESEARCH: KNOWLEDGE DISSEMINATION AND UTILIZATION

Subpart A—General

Sec.

355.1 What is the Knowledge Dissemination and Utilization Program?
355.2 Who is eligible for assistance under this program?
355.3 What regulations apply to this program?
355.4 What definitions apply to this program?

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

Sec.

355.10 What types of activities are authorized under this program?

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

355.30 How is peer review conducted under this program?

355.31 What selection criteria are used in this program?

355.32 What are the priorities for funding under this program?

Authority: Title II of the Rehabilitation Act of 1973 (Pub. L. 93-112), as amended by Pub. L. 95-602 (29 U.S.C. 760-762; 92 Stat. 2962-2966)

Subpart A—General

§ 355.1 What is the Knowledge Dissemination and Utilization Program?

This program is designed to support activities that will insure that rehabilitation knowledge generated from projects and centers funded by the Institute and from other sources is fully utilized to improve the lives of handicapped persons.

(Secs. 202, 204(a), and 204(b)(5); (29 U.S.C. 761a, 762(a) and 762(b)(5)))

§ 355.2 Who is eligible for assistance under this program?

Those agencies and organizations eligible to apply under this program are described in 34 CFR 350.2.

(Sec. 204; (29 U.S.C. 762))

§ 355.3 What regulations apply to this program?

The regulations referenced in 34 CFR 350.3 apply to this program.

(Secs. 202 and 204; (29 U.S.C. 761a and 762))

§ 355.4 What definitions apply to this program?

The definitions listed in 34 CFR 350.4 apply to this program.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

§ 355.10 What types of activities are authorized under this program?

The knowledge dissemination and utilization program provides financial assistance for the following types of projects—

(a) Domestic or international research utilization;

(b) Domestic or international information dissemination activities;

(c) Building public awareness about ways of rehabilitating handicapped persons;

(Secs. 200(2), 202(b)4-6, 204(a), 204(b)(5); (29 U.S.C. 761a(b)(2), 761a(b) (4-6), 762(a), 762(b)(5)))

Subpart C—[Reserved]

Subpart D—How Does the Secretary Make a Grant?

§ 355.30 How is peer review conducted under this program?

Peer review is conducted under this program in accordance with 34 CFR 350.30-350.32.

(Sec. 202e; (29 U.S.C. 761a(e))

§ 355.31 What selection criteria are used under this program?

(a) *National need* (20 points). See § 350.34(a).

(b) *Project design* (30 points).

(1) The Secretary reviews each application for information that shows the quality of the project design.

(2) The Secretary looks for information that shows—

(i) A linkage system to prospective target populations (5 of the 30 points);

(ii) Need assessment procedures (10 of the 30 points);

(iii) That rehabilitation knowledge or devices will be adapted or modified to facilitate greater understanding and use by the rehabilitation community (5 of the 30 points); and

(iv) Procedures for dissemination of the rehabilitation knowledge or devices referred to in paragraph (b)(2)(iii) of this section (10 of the 30 points).

(c) *Plan of operation* (15 points). See 34 CFR 75.202.

(d) *Evaluation plan* (10 points). See 34 CFR 75.205.

(e) *Quality of key personnel* (10 points). See 34 CFR 75.203.

(f) *Adequacy of resources* (10 points). See 34 CFR 75.206.

(g) *Budget and cost effectiveness* (5 points). See 34 CFR 75.204.

(The Secretary awards up to 100 possible points under these criteria)

§ 355.32 What are the priorities for funding under this program?

(a) The Secretary may from time to time reserve funds to support some or all of the types of projects listed in 34 CFR 355.10.

(b) The Secretary advises the public of these priorities through an Application Notice published in the Federal Register.

(Secs. 202(g) and 204; (29 U.S.C. 761a(g) and 762))

PART 356—HANDICAPPED RESEARCH: RESEARCH FELLOWSHIPS

Subpart A—General

Sec.

356.1 What is the Research Fellowships Program?

356.2 Who is eligible for assistance under this program?

356.3 What regulations apply to this program?

356.4 What definitions apply to this program?

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

356.10 What types of activities are authorized?

356.11 What types of problems may be researched under the fellowship program?

Subpart C—How Does One Apply for Assistance Under This Program?

356.20 What are the application procedures under this program?

356.21 What is the fellowship review process?

Subpart D—How Does the Secretary Select a Fellow?

356.30 What selection criteria are used for this program?

Subpart E—What Conditions Have to be Met by a Fellow?

356.40 What is the length of a fellowship award?

356.41 What are the employment limitations during a fellowship period?

356.42 What acknowledgement of support is required?

Subpart F—What are the Administrative Responsibilities of a Fellow?

356.50 What kinds of payments are allowed under this program?

356.51 What program reports are required of fellows?

Authority: Title II of the Rehabilitation Act of 1973 (Pub. L. 93-112) as amended by Pub. L. 95-602 (29 U.S.C. 760-762; 92 Stat. 2962-2966)

Subpart A—General

§ 356.1 What is the Research Fellowships Program?

The purpose of this program is to obtain the assistance of highly qualified individuals to perform research activities in rehabilitation.

(Sec. 202(d); (29 U.S.C. 761a(d)))

§ 356.2 Who is eligible for assistance under this program?

Any person is eligible for assistance under this program who has training and experience that indicate a potential for engaging in scientific research related to the solution of rehabilitation problems of handicapped persons.

(Sec. 202(d); (29 U.S.C. 761a(d)))

§ 356.3 What regulations apply to this program?

The following regulations apply to this program:

(a) The peer review requirements contained in 34 CFR 350.31–350.32.

(b) The regulations in this part—34 CFR Part 356; and

(c) 45 CFR Part 46 (Protection of Human Subjects)

(Sec. 202(d); (29 U.S.C. 761a(d)))

§ 356.4 What definitions apply to this program?

The definitions listed in 34 CFR 350.4 apply to this program.

(Sec. 202(i)(1); (29 U.S.C. 761a(i)(1)))

Subpart B—What Kinds of Activities Does the Department Support Under This Program?

§ 356.10 What types of activities are authorized?

Research fellowships provide awards of Federal assistance to enable individuals to carry out discrete research activities which have been identified in Application Notices published in the Federal Register.

(Sec. 202(d); (29 U.S.C. 761a(d)))

§ 356.11 What types of problems may be researched under the fellowship program?

Problems encountered by handicapped persons in their daily lives that are due to the presence of handicapping condition, problems associated with the provision of rehabilitation services to handicapped persons, and problems connected with the conduct of handicapped research may be addressed under this program.

(Sec. 202(d), 202(g)(1), 204; (29 U.S.C. 761a(d), 761a(g)(1), 762))

Subpart C—How Does One Apply for Assistance Under This Program?

§ 356.20 What are the application procedures under this Part?

From time to time the Secretary will publish in the Federal Register an Application Notice that announces the availability of fellowship assistance under this Part.

(Sec. 202(d); (29 U.S.C. 761a(d)))

§ 356.21 What is the fellowship review process?

Fellowship applications will be reviewed in accordance with the peer review requirements governing grants in 34 CFR 350.30–350.32.

(Sec. 202(d); (29 U.S.C. 761a(d)))

Subpart D—How Does the Secretary Select a Fellow?

§ 356.30 What selection criteria are used for this program?

Individuals applying for a research fellowship will be evaluated on the basis of—

(a) Quality and level of formal education;

(b) Work experience; and

(c) Recommendations of former or present supervisors or colleagues and other independent evidence that indicate an ability to work creatively in scientific research.

(Sec. 202(d); (29 U.S.C. 761a(d)))

Subpart E—What Conditions Have To Be Met by a Fellow?

§ 356.40 What is the length of a fellowship award?

Fellowships may be approved for a maximum of 48 months. The initial award may be for any period not to exceed 12 months. If the Secretary determines that there is satisfactory progress in accomplishing the purposes of the fellowship, the Secretary may make one or more continuation awards.

(Sec. 202(d); (29 U.S.C. 761a(d)))

§ 356.41 What are the employment limitations during a fellowship period?

The Secretary may require a research fellow to work full time on authorized fellowship activities.

(Sec. 202(d); (29 U.S.C. 761a(d)))

§ 356.42 What acknowledgement of support is required?

Publication, distribution, and disposition of all manuscripts and other materials resulting from a fellowship awarded under this Part must acknowledge that assistance was received from the Department and the Institute. Three copies of these publications or other materials must be furnished to the Secretary.

(Sec. 202(d); (29 U.S.C. 761a(d)))

Subpart F—What are the Administrative Responsibilities of a Fellow?

§ 356.50 What kinds of payments are allowed under this program?

A fellowship award may include the following payments:

(a) A stipend in an amount authorized by the Secretary;

(b) A health insurance allowance;

(c) Travel and transportation expenses as follows—

(1) Round trip travel, for the fellow only, from place of residence to the location of fellowship activity.

(2) No allowance will be granted for transporting dependents, except for travel undertaken by dependents to join a fellow who is located during the period of fellowship activity in a country other than his or her country of residence. "Dependent" means the spouse or dependent children of a fellow.

(d) The Secretary may authorize allowances for payment of the following expenses—tuition, fees, supplies, attendance at meetings required to carry out the purpose of the fellowship, or other related expenses of the fellowship.

(Sec. 202(d); (29 U.S.C. 761a(d)))

§ 356.51 What program reports are required?

Fellows are required to submit annual and final reports (along with work plans for the next fellowship period if applicable). Each report must contain as a minimum an analysis of the significance of the project and an assessment of the degree to which the objectives of the project have been achieved.

(Sec. 202(d); (29 U.S.C. 761a(d)))

PART 362—PROJECT GRANTS AND OTHER ASSISTANCE IN VOCATIONAL REHABILITATION

Subpart D—Rehabilitation Research

§§ 362.60–362.66 [Removed]

[FR Doc. 81-26485 Filed 9-9-81; 8:45 am]

BILLING CODE 4000-01-M

NIHR Peer Review Score Sheet
Field Initiated Research Projects
FY 1987

Applicant's Name_____ Application No._____

Reviewer's Name (please print)_____

Reviewer's Signature_____ Date_____

_____

GENERAL INSTUCTIONS: The selection criteria to be used in the evaluation of NIHR Field Initiated Research Projects program for FY 1987 were published in the Federal Register on March 12, 1984. These same criteria are reflected on the attached score sheet. The rating scale is as follows: Outstanding (5); Superior (4) Satisfactory (3); Marginal (2) and Poor (1). Each rating in then multipled by the weight assigned to the criterion. Applicants who receive an average score of superior or outstanding (4-5) will be considered for funding. Please include comments on the strengths and weaknesses of the applicant's proposal which substantiate your ratings. USE BLACK INK ONLY.

If the reviewer elects to make changes in a score or comment, make the necessary change in the item. Indicate which item has been changed below and initial the change in the space provided. Cross out those spaces below which are not used. Initial the cover sheet only.

	Criterion #	Changes Made	Initials
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____
6.	_____	_____	_____
7.	_____	_____	_____
8.	_____	_____	_____
9.	_____	_____	_____
10.	_____	_____	_____

D1

I. Potential Impact of Outcome-Criterion 1: Importance of Problem (Weight 15%)

Apply criteria as appropriate/relevant to all proposed activities viz. Research (R), Development/Demonstration (D), Training (T), and Utilization (U).

To what degree does/do/is/are:

1. proposed activity related to announced priority? (All) proposals on priority announced; does not apply to Field Initiated Research.
2. research likely to produce new and useful information? (R)
3. need and target group(s) adequately defined? (All)
4. outcomes likely to benefit defined target groups? (All)
5. training needs clearly defined? (T)
6. training methods and developed subject matter likely to meet defined need? (T)
7. need for information exist? (U)

Comment both on strengths and weaknesses relating comments to score. Avoid pejorative comments. Write legibly in BLACK INK only.

Comments:

Assign a single score for this summary criterion using a scale of 1-5.

Outstanding 5___

Superior 4___

Satisfactory 3___

Marginal 2___

Poor 1___

Absent from proposal ___

D2

I. Potential Impact of Outcome-Criterion 2: Dissemination/Utilization (Weight 15%)

Apply criteria as appropriate/relevant to all proposed activities viz. Research (R), Development/Demonstration (D), Training (T), and Utilization (U).

Comment both on strengths and weaknesses relating comments to score. Avoid pejorative comments. Write legibly in BLACK INK only.

Assign a single score for this summary criterion using a scale of 1-5.

To what degree does/do/is/are:

1. research results likely to become available to others working in the field? (R)
2. means to disseminate and promote utilization by others defined? (All)
3. training methods and content to be packaged for dissemination and use by others? (T)
4. utilization approach likely to address defined need? (U)

Comments: _____

Outstanding 5___

Superior 4___

Satisfactory 3___

Marginal 2___

Poor 1___

Absent from Proposal ___

D3

II. Probability of Achieving Proposed Outcomes-Criterion 3: Program/Project Design (Weight 25%)

Apply criteria as appropriate/relevant to all proposed activities viz. Research (R), Development/Demonstration (D), Training (T), and Utilization (U).

Comment both on strengths and weaknesses relating comments to score. Avoid pejorative comments. Write legibly in BLACK INK only.

Assign a single score for this summary criterion using a scale of 1-5.

Outstanding 5___
Superior 4___
Satisfactory 3___
Marginal 2___
Poor 1___
Absent from proposal ___

To what degree does/do/is/are:

1. are objectives of project(s) clearly stated? (All)
2. hypothesis sound and based on evidence? (R)
3. project design/methodology likely to achieve objectives? (All)
4. measurement methodology and analysis sound? (R) (D)
5. conceptual model (if used) sound? (D)
6. sample populations correct and significant? (R) (D)
7. human subjects sufficiently protected? (R) (D)
8. device(s) or model system to be developed in an appropriate environment?
9. training content comprehensive and at an appropriate level? (T)
10. training methods likely to be effective? (T)
11. new materials (if developed) likely to be of high quality and unique? (T)
12. target populations linked to project? (U)

II. Probability of Achieving Proposed Outcomes-Criterion 4: Key Personnel (Weight 20%)

Apply criteria as appropriate/relevant to all proposed activities viz. Research (R), Development/Demonstration (D), Training (T), and Utilization (U).

Comment both on strengths and weaknesses relating comments to score. Avoid pejorative comments. Write legibly in BLACK INK only.

Assign a single score for this summary criterion using a scale of 1-5.

To what degree does/do/is/are:

Comments: _____

1. principal investigator and other key staff have adequate training and/or experience and demonstrate appropriate potential to conduct the proposed research, demonstration, training, development, or dissemination activity?

2. principal investigator and other key staff familiar with recent pertinent literature or methods or both? (All)

3. all required disciplines effectively covered? (All)

4. staff time commitments adequate for project? (All)

5. the applicant likely, as part of its nondiscriminatory employment practices, to encourage applications for employment from persons who are members of groups that have been traditionally underrepresented, such as-
   (i) Members of racial or ethnic minority groups;
   (ii) Women;
   (iii) Handicapped persons; and
   (iv) The elderly (All)

Outstanding 5___
Superior 4___
Satisfactory 3___
Marginal 2___
Poor 1___
Absent from proposal ___

D5

II. Probability of Achieving Proposed Outcomes-Criterion 5: Evaluation Plan (Weight 5%)

Apply criteria as appropriate/releva4nt to all proposed activities viz. Research (R), Development/Demonstration (D), Training (T), and Utilization (U).

To what degree does/do/is/are:

1. there a mechanism to evaluate plans, progress and results? (All)
2. evaluation methods objective and likely to produce data that are quantifiable? (All)
3. evaluation results, where relevant, likely to be assessed in a service setting? (All)

Comment both on strengths and weaknesses relating comments to score. Avoid pejorative comments. Write legibly in BLACK INK only.

Comments:

Assign a single score for this summary criterion using a scale of 1-5.

Outstanding 5___

Superior 4___

Satisfactory 3___

Marginal 2___

Poor 1___

Absent from proposal ___

III. Program/Project Management-Criterion 6: Plan of Operation (Weight 10%)

Apply criteria as appropriate/relevant to all proposed activities viz Research (R), Development/Demonstration (D), Training (T), and Utilization (U).

Comment both on strengths and weaknesses relating comments to score. Avoid pejorative comments. Write legibly in BLACK INK only.

Assign a single Score for this summary criterion using a scale of 1-5.

To what degree does/do/is/are:

Comments: _____

Outstanding 5___
Superior 4___
Satisfactory 3___
Marginal 2___
Poor 1___
Absent from proposal ___

1. there an effective plan of management that insures proper and efficient administration of the project(s)? (All)

2. the way the applicant plans to use its resources and personnel likely to achieve each objective? (All)

3. interinstitutional collaboration, if proposed, likely to be effective? (All)

4. there a clear description of how the applicant will provide equal access and treatment for eligible project participants who are members of groups that have been traditionally underrepresented, such as-
   (i) Members of racial or ethnic minority groups;
   (ii) Women;
   (iii) Handicapped persons; and
   (iv) The elderly

D7

III. Program/Project Management-Criterion 7: Adequacy of Resources (Weight5%)

Apply criteria as appropriate/relevant to all proposed activities viz. Research (R), Development/Demonstration (D), Training (T), and Utilization (U).

To what degree does/do/is/are:

1. the facilities that the applicant plans to use adequate? (All)
2. the equipment and supplies that the applicant plans to use adequate? (All)
3. the commitment of the institution evident? (All)

Comment both on strengths and weaknesses relating comments to score. Avoid pejorative comments. Write legibly in BLACK INK only.

Comments: _____

Assign a single score for this summary criterion using a scale of 1-5.

Outstanding 5___

Superior 4___

Satisfactory 3___

Marginal 2___

Poor 1___

Absent from proposal ___

D8

III.Program/Project Management-Criterion 8: Budget and Cost Effectiveness (Weight 5%)

Apply criteria as appropriate/relevant to all proposed activities viz. Research (R), Development/Demonstration (D), Training (T), and Utilization (U).

To what degree does/do/is/are:

1. the budget for the project(s) adequate to support activities? (All)
2. costs reasonable in relation to the objectives of the project(s)? (All)
3. budget for subcontract (if required) detailed and appropriate? (All)

Comment both on strengths and weaknesses relating comments to score. Avoid pejorative comments. Write legibly in BLACK INK only.

Comments:

Assign a single score for this summary criterion using a scale of 1-5.

Outstanding 5___

Superior 4___

Satisfactory 3___

Marginal 2___

Poor 1___

Absent from proposal ___

NIHR Peer Review Score Computation Sheet

Application No._____ Date_____

Instructions: 1. Enter summary criteria scores (0-5) in first column.
2. Mutiply by weighting factor, enter results in third column.
3. Add weighted scores, enter total score.
PLEASE CHECK ARITHMETIC!

Summary of Criteria	Score 0-5	Mutiply by Weight Factor	Weighted Score
I. Potential Impact of Outcomes			
1. Importance of Problem	_____	x 3 =	_____
2. Dissemination/Utilization	_____	x 3 =	_____
II. Probability of Achieving Proposed Outcomes			
3. Program/Project Design	_____	x 5 =	_____
4. Key Personnel	_____	x 4 =	_____
5. Evaluation Plan	_____	x 1 =	_____
III. Program/Project Management			
6. Plan of Operation	_____	x 2 =	_____
7. Adequacy of Resources	_____	x 1 =	_____
8. Budget and Cost Effectivness	_____	x 1 =	_____
		Total Score	_____

Form Approved,
OMB No. 1820-0027
Form Expires 11/87

DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES
NATIONAL INSTITUTE OF HANDICAPPED RESEARCH

Instructions for Application for Federal Assistance (Nonconstruction Programs)

Introduction

The instructions which follow should be followed by all applicants in completing applications for all NIHR research and demonstration grants.

SF 424 and Parts II, III, IVa, and V are to be used for new applications. SF 424 and Parts II, III, IVb, and V are to be used for the usual noncompeting continuation requests.

Submit the original and two copies of the form. If an item cannot be answered or does not appear to be related or relevant to the assistance required, write "NA" for not applicable.

Submission of Applications

(1) Continuation Grants - Applicants for continuation grants must submit these forms not later than 90 days prior to the budget period end date.

(2) New Projects - Applicants for grants to support new projects should refer to program announcements for information regarding deadline dates for submission of forms.

Supplemental Instructions for Completion of Part I (SF 424)

Part I of this application consists of the standard face page for Federal applications, the standard instructions for the face page, and these supplemental instructions.

Applicant shall complete all items. If an item is not applicable, write "NA." If additional space is needed, insert an asterisk (*) and use the remarks section.

Item

1. Preprinted.

3a. The NIHR Program is not currently covered by OMB Circular A-95.

4a-4h. If the payee will be other than the applicant, enter in the remarks section "payee," the payee's name, department or division, complete address and employer identification number or Ed entity number.

If an individual's name and/or title is desired on the payment instrument, the name and/or title of the designated individual must be specified.

6a. Preprinted.

6b. Enter specific program identifier; for example, Research and Training Center, Rehabilitation Engineering Center, Research and Demonstration, or Utilization and Dissemination.,

9. Preprinted.

20. Preprinted.

Supplemental Instructions for Completion of Part II

A negative answer will not require an explanation unless the responsible program office requests more information at a later date. A "yes" answer must be explained on a separate page in accordance with these instructions.

Items 1-9 - N/A

Item 10 - Show the Catalog of Federal Domestic Assistance number, the program number, the type of assistance, the status, the amount of each project where there is related previous, pending, or anticipated assistance from another funding source.

Supplemental Instructions for Completion of Part III

This form is designed so that application can be made for funds to support one or more functions or activities. Generally, NIHR funded programs do not require a breakdown by function or activity. Therefore, only Line 1 need be completed.

Since NIHR programs award funds to support activities for budget periods which are generally 12 months in duration, Sections A, B, C, and D must provide budget information for the requested budget period. Section E should present the need for Federal assistance in subsequent budget periods.

Applicants for research grants are not required to complete information items related to non-Federal share. Rather, research cost sharing shall be negotiated separately with the funding office.

Section A - Budget Summary

Lines 1-4

Col. (a): Applicants may, at their discretion, present budget information for Section A (and Section B) in terms of major functions or activities. For example, common categories might be research and demonstration, dissemination, evaluation, or training.

Applicants who choose not to present budget information in terms of major functions and/or activities should enter Rehab. R&D on Line 1, Column (a), and note N/A on Lines 2-4.

Col. (b): Preprinted.

Col. (c)-(g):

For new applications, leave Columns (c) and (d) blank. For each line entry, enter in Columns (e), (f), and (g) the appropriate amounts needed to support the project for the first budget period. Applicants for research grants should make no entries in Column (f).

For continuation applications, enter in Columns (c) and (d) the estimated amounts for funds which will remain unobligated at the end of the current budget period. Enter in Columns (e), (f), and (g) the appropriate amounts needed to support the project for the new budget period. (Applicants for research grants should make no entries in Column (d) or (f). Column (g) should equal the total of Columns (e) and Column (f).)

For changes to existing grants, leave Columns (c) and (d) blank and enter in Columns (e) and (f) the amount of increase or decrease of Federal and non-Federal funds, as appropriate. Enter in Column (g) the new total budgeted amount (Federal and non-Federal) which includes the previously authorized total budgeted amounts for the current budget period plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of the amounts in Columns (e) and (f). Applicants for research grants should make no entries in Column (d) or (f).

Line 5

Enter the totals for all columns completed.

Section B - Budget Categories

Columns 1-5

In the Column headings (1) through (4), enter the same title of the grant programs shown on Lines 1 through 4, Column (a), Section A. For each grant program or activity entered in Columns (1) through (4), enter the total requirements for Federal funds by object class categories and enter total in Column 5.

Allowability of costs are governed by applicable cost principles set forth in Subpart Q of 34 CFR Part 74.

Line 6a: Enter the total costs of salaries and wages of applicant/grantee staff. Do not include costs of consultants. (See Section F, Line 21, for additional requirements.)

Line 6b: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

Line 6c: Enter total costs of out-of-town travel for employees of the project. Do not enter costs for consultant's travel or local transportation. (See Line 6h and Section F, Line 21, for additional instructions.)

Line 6d: Enter the total costs of all non-expendable personal property to be acquired by the project. "Non-expendable personal property" means tangible personal property having a useful life of more than one year and an acquisition cost of $300 or more per unit. An applicant may use its own definition of non-expendable personal property, provided that such a definition would at least include all tangible personal property as defined in the preceding sentence. (See Section F, Line 21, for additional requirements.)

Line 6e: Enter the total costs of all tangible personal property (supplies) other than that included on Line 6d.

Line 6f: Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines, such as equipment, supplies, etc.), and (2) contracts with secondary recipient organizations. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line. Attach a list of contractors, indicating the name of the organization, the purpose of the contract and the estimated dollar amount of the award. (Note: Whenever the applicant/grantee intends to delegate part or all of the program to another agency, the applicant/grantee must submit Sections A and B of Part III, Budget Section, completed for each delegate agency by agency title, along with the required supporting information referenced in the applicable instructions. The total costs of all such agencies will be part of the amount shown on Line 6(f).)

Line 6g: Enter the costs of renovation or repair. New construction is unallowable.

Line 6h: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to, insurance, fees and travel paid directly to individual consultants, local transportation (all travel which does not require per diem is considered local travel), space and equipment rentals, printing and publication, computer use, training costs, including tuition and stipends, training service costs, including wage payments to individuals and supportive service payments, and staff development costs.

Line 6i: Show the totals of Lines 6(a) through 6(h).

Line 6j: Enter the total amount of indirect costs. If no indirect costs are requested, enter "none." This line should be used only when the applicant (except local governments) has an indirect cost rate approved by the Department of Education. Local governments shall enter the amount of indirect costs determined in accordance with ED requirements.

Line 6k: Enter the total amounts of Lines 6(i) and 6(j). For all new and continuation applications and total amount shown in Column (5), Line 6(k), should be the same as the amount shown in Section A, Column (e), Line 5.

For all changes, the total of the amount shown in Columns (1) through (4) should equal the amount shown in Section A, Line 5(e). The amount shown in Column (5) should include the cumulative total of the previously approved Federal share for the current budget period plus or minus, as appropriate, the increase or decrease of Federal funds.

Line 7: Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show, in the program narrative statement, the nature and source of income.

Section C - Non-Federal Resources

Line 8 - Enter amounts of non-Federal resources that will be used to support the project. (Applicants for research grants should not complete this Section but will negotiate appropriate cost sharing arrangements with the funding office.) Provide a brief explanation, on a separate sheet, showing the type of contribution, and whether it is in cash or in kind. If in kind is allowable and included, show the basis for computation including:

(1) Numbers and types of volunteers and rates at which their services are valued;

(2) Valuation of donated space (use only) including number of square feet and value assigned per square foot; and

(3) Determination of depreciation and use allowance for grantee-owned space;

(4) Type and value of other in kind contributions expected.

Column (a): Enter the program title or activities as in Column (a), Section A.

Column (b): Enter the amount of cash and in kind contributions to be made by the applicant.

Column (c): Enter the State contribution. If the applicant is a State agency, enter the non-Federal funds to be contributed by the State other than the applicant State Agency.

Column (d): Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e): Enter the totals of Columns (b), (c), and (d).

Lines 9-12 - N/A

Section D - Forecasted Cash Needs

Line 13 - Enter the amount of Federal cash needed by quarter from the ED program office during the budget period.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the budget period. (Applicants for research grants should not complete this line.)

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E - Budget Estimates of Federal Funds Needed for Balance of Project

Line 16 - Enter in Column (a) the same program title or activities as in Column (a), Section A. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding budget periods (usually in years). This Section need not be completed for revisions or supplements for the current budget period which do not increase the general level of support.

Lines 17-20 - N/A

Section F - Other Budget Information

Line 21 - Use this space to fully explain and justify the major items included in the budget categories shown in Section B. Include sufficient detail to facilitate determination of allowability, relevance to the project, and cost benefits. Particular attention must be given to the explanation of any requested direct cost budget item which requires explicit approval by the program office. Budget items which require identification and justification shall include, but not be limited to, the following:

1. Salary amounts and percentage of time worked for project staff.
2. Out-of-town and foreign travel;
3. A list of all equipment to be purchased wholly or in part with grant funds which meets the definition of nonexpendable personal property provided on Line 6d, Section B;
4. Consultants: Fees, per diem, and travel;
5. Contractual: Major items or groups of smaller items; and
6. Other: Group and major categories; e.g., local transportation, space rental, training allowances, staff training, etc.

Line 22 - Enter the type of indirect rate (provisional, pre-determined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied and the total indirect expense. Also, enter the date ED approved the rate, where applicable.

Line 23 - Provide any other explanations required or deemed necessary.

GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74–7. [redacted] Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "*", and use the remarks section on the back of the form. An explanation follows for each item:

Item

1. Mark appropriate box. Pre-application and application guidance is in FMC 74–7 and Federal agency program instructions. [redacted] Applicant will not use "Report of Federal Action" box.

2a. Applicant's own control number, if desired.

2b. Date Section I is prepared.

3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. [redacted]

3b. Date applicant notified of clearinghouse identifier.

4a–4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request.

5. Employer identification number of applicant as assigned by Internal Revenue Service.

6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code.

6b. Program title from Federal Catalog. Abbreviate if necessary.

7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description.

8. Mostly self-explanatory. "City" includes town, township or other municipality.

9. Check the type(s) of assistance requested. The definitions of the terms are:

A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.

B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).

C. Loan. Self explanatory.

Item

D. Insurance. Self explanatory.

E. Other. Explain on remarks page.

10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits.

11. Estimated number of persons directly benefiting from project.

12. Use appropriate code letter. Definitions are:

A. New. A submittal for the first time for a new project.

B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.

C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).

D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.

E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.

13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks.

14a. Self explanatory.

14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."

15. Complete only for revisions (item 12c), or augmentations (item 12e).

Item	
16.	Approximate date project expected to begin (usually associated with estimated date of availability of funding).
17.	Estimated number of months to complete project after Federal funds are available.
18.	Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in item 2b.
19.	Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA".
20.	Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP.
21.	Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

Item	
	[redacted]
23a.	Name and title of authorized representative of legal applicant.
23b.	Self explanatory.
23c.	Self explanatory.
Note:	Applicant completes only Sections I and II. Section III is completed by Federal agencies.

FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

Item	
24.	Executive department or independent agency having program administration responsibility.
25.	Self explanatory.
26.	Primary organizational unit below department level having direct program management responsibility.
27.	Office directly monitoring the program.
28.	Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice.
29.	Complete address of administering office shown in item 26.
30.	Use to identify award actions where different from Federal application identifier in item 28.
31.	Self explanatory. Use remarks section to amplify where appropriate.
32.	Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 32a, amount awarded by Federal Government; 32b, amount applicant will contribute; 32c, amount from State, if applicant is not a State; 32d, amount from local government if applicant is not a local government; 32e, amount from any other sources, explain in remarks.
33.	Date action was taken on this request.
34.	Date funds will become available.
35.	Name and telephone no. of agency person who can provide more information regarding this assistance.
36.	Date after which funds will no longer be available.
37.	Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.

[redacted]

Federal Agency Procedures—special considerations

A. *Treasury Circular 1082 compliance.* Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.

[redacted]

*U.S. Government Printing Office: 1977—241-830/6231

INSTRUCTIONS FOR COMPLETION OF PART IV

NATIONAL INSTITUTE OF HANDICAPPED RESEARCH

PROJECT NARRATIVE FOR NEW AND CONTINUATION APPLICATIONS

The successful narrative should include the basic information described below and should be limited to:

- 100 pages for applications for Research and Training Centers, Rehabilitation Engineering Centers, and Special Projects and Demonstrations for Spinal Cord Injuries, plus resumes of key personnel
- 20 pages for applications under the Innovation Grants program, plus resumes
- 40 pages for applications under all other programs, plus resumes of key personnel
- 12 pages for Fellowship Applications

Should the proposed project be funded, the information provided in the "project narrative" will form the basis for evaluating progress for continuation funding.

The narrative for new applications may be organized under the following major headings; the applicant should refer to the accompanying NIHR regulations (see 34 CFR 350.34) to see the specific elements which will be used to evaluate proposals.

(A) Potential Impact of Outcomes

1) Importance of Program
2) Dissemination and Utilization

(B) Probability of Achieving Proposed Outcomes

1) Program/Project Design
2) Key Personnel
3) Evaluation Plan

(C) Program/Project Management

1) Plan of Operation
2) Adequacy of Resources
3) Budget and Cost Effectiveness

OMB Approval No. 29-R0218

FEDERAL ASSISTANCE

2. APPLICANT'S APPLICATION	a. NUMBER	3. STATE APPLICATION IDENTIFIER	a. NUMBER
	b. DATE Year month day 19		b. DATE ASSIGNED Year month day 19

1. TYPE OF ACTION (Mark appropriate box)
- ☐ PREAPPLICATION
- ☒ APPLICATION
- ☐ NOTIFICATION OF INTENT (Optional)
- ☐ REPORT OF FEDERAL ACTION

Leave Blank

4. LEGAL APPLICANT/RECIPIENT

a. Applicant Name :
b. Organization Unit :
c. Street/P.O. Box :
d. City : e. County :
f. State : g. ZIP Code:
h. Contact Person (Name & telephone No.) :

5. FEDERAL EMPLOYER IDENTIFICATION NO.

6. PROGRAM (From Federal Catalog)
a. NUMBER 9 4 • 1 3 3 G
b. TITLE REHABILITATION RESEARCH AND DEMONSTRATION
Field Initiated Research

7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT

8. TYPE OF APPLICANT/RECIPIENT
A-State; B-Interstate; C-Substate District; D-County; E-City; F-School District; G-Special Purpose District; H-Community Action Agency; I-Higher Educational Institution; J-Indian Tribe; K-Other (Specify):
Enter appropriate letter ☐

9. TYPE OF ASSISTANCE
A-Basic Grant; B-Supplemental Grant; C-Loan; D-Insurance; E-Other
Enter appropriate letter(s) [A]

10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.)

11. ESTIMATED NUMBER OF PERSONS BENEFITING

12. TYPE OF APPLICATION
A-New; B-Renewal; C-Revision; D-Continuation; E-Augmentation
Enter appropriate letter [A]

13. PROPOSED FUNDING

a. FEDERAL	$ .00
b. APPLICANT	.00
c. STATE	.00
d. LOCAL	.00
e. OTHER	.00
f. TOTAL	$ .00

14. CONGRESSIONAL DISTRICTS OF:
a. APPLICANT
b. PROJECT

15. TYPE OF CHANGE (For 12c or 12e)
A-Increase Dollars; B-Decrease Dollars; C-Increase Duration; D-Decrease Duration; E-Cancellation; F-Other (Specify):
Enter appropriate letter(s)

16. PROJECT START DATE Year month day 19

17. PROJECT DURATION Months

18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY ▶ Year month day 19

19. EXISTING FEDERAL IDENTIFICATION NUMBER

20. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code)
U.S. Department of Education Application Control Center, Washington, D.C. 20202

21. REMARKS ADDED ☐ Yes ☐ No

SECTION III—CERTIFICATION

22. THE APPLICANT CERTIFIES THAT ▶
a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.

[redacted]

23. CERTIFYING REPRESENTATIVE
a. TYPED NAME AND TITLE
b. SIGNATURE
c. DATE SIGNED Year month day 19

SECTION IV—FEDERAL AGENCY ACTION

24. AGENCY NAME

25. APPLICATION RECEIVED Year month day 19

26. ORGANIZATIONAL UNIT

27. ADMINISTRATIVE OFFICE

28. FEDERAL APPLICATION IDENTIFICATION

29. ADDRESS

30. FEDERAL GRANT IDENTIFICATION

31. ACTION TAKEN
- ☐ a. AWARDED
- ☐ b. REJECTED
- ☐ c. RETURNED FOR AMENDMENT
- ☐ d. DEFERRED
- ☐ e. WITHDRAWN

32. FUNDING

a. FEDERAL	$ .00
b. APPLICANT	.00
c. STATE	.00
d. LOCAL	.00
e. OTHER	.00
f. TOTAL	$ .00

33. ACTION DATE ▶ Year month day 19

34. STARTING DATE Year month day 19

35. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)

36. ENDING DATE Year month day 19

37. REMARKS ADDED ☐ Yes ☐ No

[redacted]

SECTION IV–REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

NOTE: **If person responsible for grant negotiations is different from person named in Item 4h. please identify by name and phone number in this space.**

name: _____

phone: _____
(area code) **(number)** **(extension)**

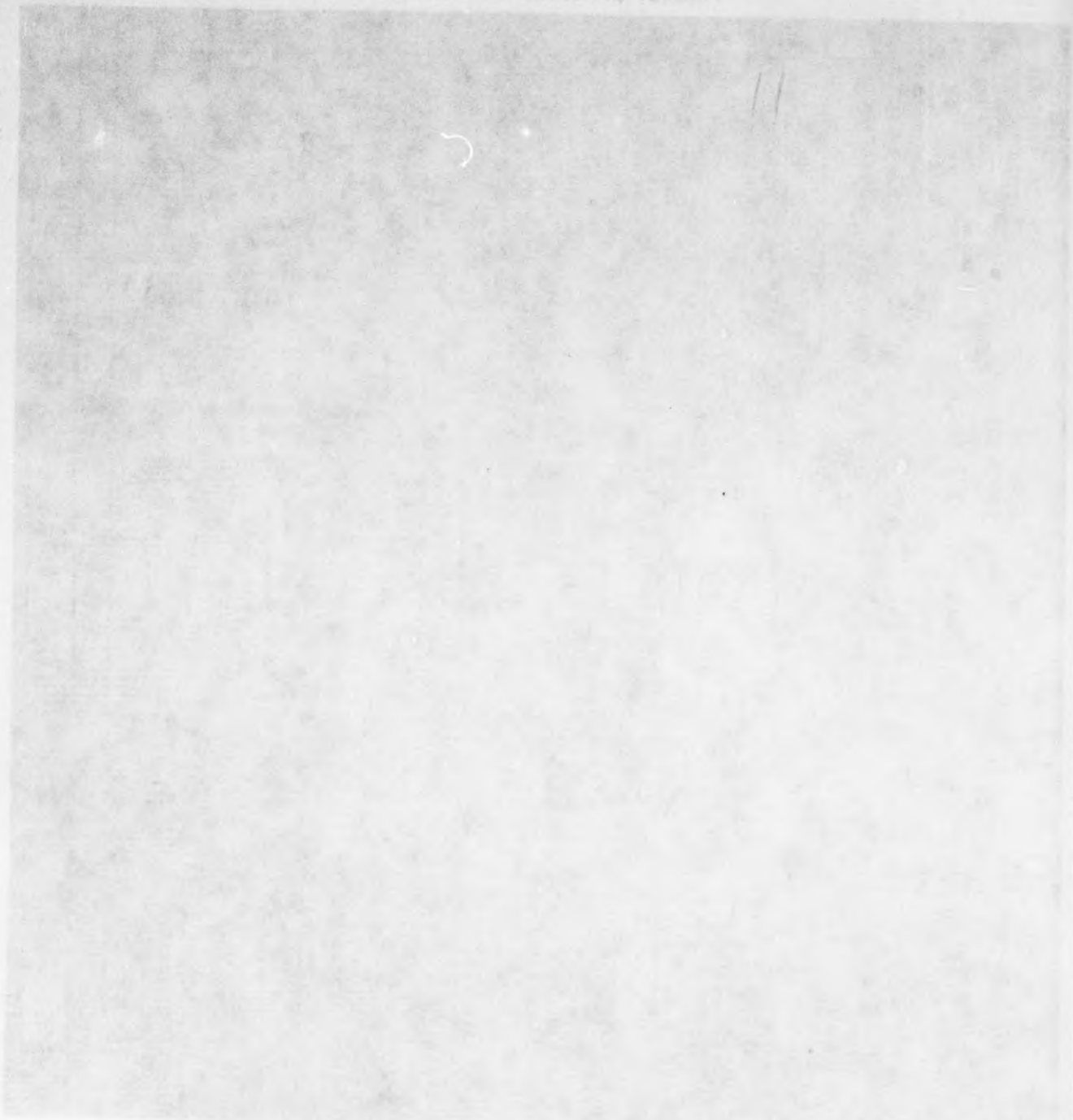
PART II
PROJECT APPROVAL INFORMATION

[redacted]

EM 10
there other related assistance on this project previous,
nding, or anticipated?

☐ Yes ☐ No

See instructions for additional information to be provided.



PART III – BUDGET INFORMATION

SECTION A – BUDGET SUMMARY

GRANT PROGRAM, FUNCTION OR ACTIVITY (a)	FEDERAL CATALOG NO. (b)	ESTIMATED UNOBLIGATED FUNDS		NEW OR REVISED BUDGET		
		FEDERAL (c)	NON-FEDERAL (d)	FEDERAL (e)	NON-FEDERAL (f)	TOTAL (g)
1.	84.133	$	$	$	$	$
2.	84.133					
3.	84.133					
4.	84.133					
5. TOTALS		$	$	$	$	$

SECTION B – BUDGET CATEGORIES

6. OBJECT CLASS CATEGORIES	GRANT PROGRAM, FUNCTION OR ACTIVITY				TOTAL
	(1) Research	(2) Training	(3) Administration	(4)	(5)
a. PERSONNEL	$	$	$	$	$
b. FRINGE BENEFITS					
c. TRAVEL					
d. EQUIPMENT					
e. SUPPLIES					
f. CONTRACTUAL					
g. CONSTRUCTION					
h. OTHER					
i. TOTAL DIRECT CHARGES					
j. INDIRECT CHARGES					
k. TOTALS	$	$	$	$	$
7. PROGRAM INCOME	$	$	$	$	$

HEW-608T

E15

SECTION C – NON-FEDERAL RESOURCES

(a) GRANT PROGRAM	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	$	$	$	$

SECTION D – FORECASTED CASH NEEDS

	TOTAL FOR 1ST YEAR	1ST QUARTER	2ND QUARTER	3RD QUARTER	4TH QUARTER
13. FEDERAL	$	$	$	$	$
14. NON-FEDERAL					
15. TOTALS	$	$	$	$	$

SECTION E – BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) GRANT PROGRAM	FUTURE FUNDING PERIODS (years)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16.	$	$	$	$

SECTION F – OTHER BUDGET INFORMATION (attach additional sheets if necessary)

21. DIRECT CHARGES:

22. INDIRECT CHARGES:

23. REMARKS:

PART IV – PROGRAM NARRATIVE (attach per instructions)

PART V
ASSURANCES

The Applicant hereby assures and certifies that it will comply with the regulations, policies, guidelines and requirements, as they relate to the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.

2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.

3. It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.

4. It will comply with Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance.

5. It will comply with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 *et seq.*, which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance.

6. It will comply with the Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 *et seq.*, which prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance.

7. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.

8. It will comply with the provisions of the Hatch Act which limit the political activity of employees.

9. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.

10. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

11. It will give the sponsoring agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.

12. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.

13. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.

14. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, P.L. 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on or after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.

15. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 U.S.C. 470), Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 U.S.C. 469a-1 *et seq.*) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

GPO 910-091

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

PROTECTION OF HUMAN SUBJECTS ASSURANCE/CERTIFICATION/DECLARATION

☐ ORIGINAL ☐ FOLLOWUP ☐ REVISION

☐ GRANT ☐ CONTRACT ☐ FELLOW ☐ OTHER

☐ NEW ☐ RENEWAL ☐ CONTINUATION

APPLICATION IDENTIFICATION NUMBER *(If known)*

_____

STATEMENT OF POLICY: *Safeguarding the rights and welfare of subjects at risk in activities supported under grants and contracts from DHEW is primarily the responsibility of the institution which receives or is accountable to DHEW for the funds awarded for the support of the activity. In order to provide for the adequate discharge of this institutional responsibility, it is the policy of DHEW that no activity involving human subjects to be supported by DHEW grants or contracts shall be undertaken unless the Institutional Review Board has reviewed and approved such activity, and the institution has submitted to DHEW a certification of such review and approval, in accordance with the requirements of Public Law 93-348, as implemented by Part 46 of Title 45 of the Code of Federal Regulations, as amended, (45 CFR 46).* Administration of the DHEW policy and regulation is the responsibility of the Office for Protection from Research Risks, National Institutes of Health, Bethesda, Md 20014.

1. TITLE OF PROPOSAL OR ACTIVITY

2. PRINCIPAL INVESTIGATOR/ACTIVITY DIRECTOR/FELLOW

3. DECLARATION THAT HUMAN SUBJECTS EITHER WOULD OR WOULD NOT BE INVOLVED

☐ A. NO INDIVIDUALS WHO MIGHT BE CONSIDERED HUMAN SUBJECTS, INCLUDING THOSE FROM WHOM ORGANS, TISSUES, FLUIDS, OR OTHER MATERIALS WOULD BE DERIVED, OR WHO COULD BE IDENTIFIED BY PERSONAL DATA, WOULD BE INVOLVED IN THE PROPOSED ACTIVITY. (IF NO HUMAN SUBJECTS WOULD BE INVOLVED, CHECK THIS BOX AND PROCEED TO ITEM 7. PROPOSALS DETERMINED BY THE AGENCY TO INVOLVE HUMAN SUBJECTS WILL BE RETURNED.)

☐ B. HUMAN SUBJECTS WOULD BE INVOLVED IN THE PROPOSED ACTIVITY AS EITHER: ☐ NONE OF THE FOLLOWING, OR INCLUDING: ☐ MINORS, ☐ FETUSES, ☐ ABORTUSES, ☐ PREGNANT WOMEN, ☐ PRISONERS, ☐ MENTALLY RETARDED, ☐ MENTALLY DISABLED. UNDER SECTION 6. COOPERATING INSTITUTIONS, ON REVERSE OF THIS FORM, GIVE NAME OF INSTITUTION AND NAME AND ADDRESS OF OFFICIAL(S) AUTHORIZING ACCESS TO ANY SUBJECTS IN FACILITIES NOT UNDER DIRECT CONTROL OF THE APPLICANT OR OFFERING INSTITUTION.

4. DECLARATION OF ASSURANCE STATUS/CERTIFICATION OF REVIEW

☐ A. THIS INSTITUTION HAS NOT PREVIOUSLY FILED AN ASSURANCE AND ASSURANCE IMPLEMENTING PROCEDURES FOR THE PROTECTION OF HUMAN SUBJECTS WITH THE DHEW THAT APPLIES TO THIS APPLICATION OR ACTIVITY. ASSURANCE IS HEREBY GIVEN THAT THIS INSTITUTION WILL COMPLY WITH REQUIREMENTS OF *DHEW Regulation 45 CFR 46*, THAT IT HAS ESTABLISHED AN INSTITUTIONAL REVIEW BOARD FOR THE PROTECTION OF HUMAN SUBJECTS AND, WHEN REQUESTED, WILL SUBMIT TO DHEW DOCUMENTATION AND CERTIFICATION OF SUCH REVIEWS AND PROCEDURES AS MAY BE REQUIRED FOR IMPLEMENTATION OF THIS ASSURANCE FOR THE PROPOSED PROJECT OR ACTIVITY.

☐ B. THIS INSTITUTION HAS AN APPROVED GENERAL ASSURANCE (DHEW ASSURANCE NUMBER _____)OR AN ACTIVE SPECIAL ASSURANCE FOR THIS ONGOING ACTIVITY, ON FILE WITH DHEW. THE SIGNER CERTIFIES THAT ALL ACTIVITIES IN THIS APPLICATION PROPOSING TO INVOLVE HUMAN SUBJECTS HAVE BEEN REVIEWED AND APPROVED BY THIS INSTITUTION'S INSTITUTIONAL REVIEW BOARD IN A CONVENED MEETING ON THE DATE OF _____ IN ACCORDANCE WITH THE REQUIREMENTS OF THE *Code of Federal Regulations on Protection of Human Subjects (45 CFR 46)*. THIS CERTIFICATION INCLUDES, WHEN APPLICABLE, REQUIREMENTS FOR CERTIFYING FDA STATUS FOR EACH INVESTIGATIONAL NEW DRUG TO BE USED (SEE REVERSE SIDE OF THIS FORM).

THE INSTITUTIONAL REVIEW BOARD HAS DETERMINED, AND THE INSTITUTIONAL OFFICIAL SIGNING BELOW CONCURS THAT:

EITHER ☐ HUMAN SUBJECTS WILL NOT BE AT RISK; OR ☐ HUMAN SUBJECTS WILL BE AT RISK.

5. AND 6. SEE REVERSE SIDE

7. NAME AND ADDRESS OF INSTITUTION

8. TITLE OF INSTITUTIONAL OFFICIAL	TELEPHONE NUMBER
SIGNATURE OF INSTITUTIONAL OFFICIAL	DATE

HEW-596 (Rev. 4-75)

ENCLOSE THIS FORM WITH THE PROPOSAL OR RETURN IT TO REQUESTING AGENCY.

5. INVESTIGATIONAL NEW DRUGS - ADDITIONAL CERTIFICATION REQUIREMENT

SECTION 46.17 OF TITLE 45 OF THE Code of Federal Regulations states, "Where an organization is required to prepare or to submit a certification . . . and the proposal involves an investigational new drug within the meaning of The Food, Drug, and Cosmetic Act, the drug shall be identified in the certification together with a statement that the 30-day delay required by 21 CFR 130.3(a)(2) has elapsed and the Food and Drug Administration has not, prior to expiration of such 30-day interval, requested that the sponsor continue to withhold or to restrict use of the drug in human subjects; or that the Food and Drug Administration has waived the 30-day delay requirement; provided, however, that in those cases in which the 30-day delay interval has neither expired nor been waived, a statement shall be forwarded to DHEW upon such expiration or upon receipt of a waiver. No certification shall be considered acceptable until such statement has been received."

INVESTIGATIONAL NEW DRUG CERTIFICATION

TO CERTIFY COMPLIANCE WITH FDA REQUIREMENTS FOR PROPOSED USE OF INVESTIGATIONAL NEW DRUGS IN ADDITION TO CERTIFICATION OF INSTITUTIONAL REVIEW BOARD APPROVAL, THE FOLLOWING REPORT FORMAT SHOULD BE USED FOR EACH IND: (ATTACH ADDITIONAL IND CERTIFICATIONS AS NECESSARY).

- IND FORMS FILED: ☐ FDA 1571, ☐ FDA 1572, ☐ FDA 1573

- NAME OF IND AND SPONSOR _____

- DATE OF 30-DAY EXPIRATION OR FDA WAIVER
  (FUTURE DATE REQUIRES FOLLOWUP REPORT TO AGENCY) _____

- FDA RESTRICTION _____

- SIGNATURE OF INVESTIGATOR _____ DATE _____

6. COOPERATING INSTITUTIONS - ADDITIONAL REPORTING REQUIREMENT

SECTION 46.16 OF TITLE 45 OF THE *Code of Federal Regulations* IMPOSES SPECIAL REQUIREMENTS ON THE CONDUCT OF STUDIES OR ACTIVITIES IN WHICH THE GRANTEE OR PRIME CONTRACTOR OBTAINS ACCESS TO ALL OR SOME OF THE SUBJECTS THROUGH COOPERATING INSTITUTIONS NOT UNDER ITS CONTROL. IN ORDER THAT THE DHEW BE FULLY INFORMED, THE FOLLOWING REPORT IS REQUESTED WHEN APPLICABLE.

USE FOLLOWING REPORT FORMAT FOR EACH INSTITUTION OTHER THAN GRANTEE OR CONTRACTING INSTITUTION WITH RESPONSIBILITY FOR HUMAN SUBJECTS PARTICIPATING IN THIS ACTIVITY: (ATTACH ADDITIONAL REPORT SHEETS AS NECESSARY).

INSTITUTIONAL AUTHORIZATION FOR ACCESS TO SUBJECTS

- SUBJECTS: STATUS (WARDS, RESIDENTS, EMPLOYEES, PATIENTS, ETC.) _____

NUMBER _____ AGE RANGE _____

NAME OF OFFICIAL (PLEASE PRINT) _____

TITLE _____ TELEPHONE _____

NAME AND ADDRESS OF COOPERATING INSTITUTION _____

- OFFICIAL SIGNATURE _____

NOTES: *(e.g., report of modification in proposal as submitted to agency affecting human subjects involvement)*

IMPORTANT NOTICE
TO PROSPECTIVE PARTICIPANTS
IN USDE CONTRACT AND GRANT PROGRAMS

GRANTS

Applicants for grants from the U.S. Department of Education (USDE) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, USDE must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that –

Failure to meet a deadline will mean that an application will be rejected without any consideration whatever.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending $300.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No USDE employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202

CONTRACTS

Competitive procurement actions undertaken by the USDE are governed by the Federal Procurement Regulations and implementing ED Procurement Regulations.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the Request for Proposals (RFP). Questions regarding the submission of offers should be addressed to the Contracting Officer identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No USDE employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for $173.00 per year via non-priority mail or $243.00 per year via priority mail. Information included in the Federal Acquisition Regulations is contained in Title 48, Code of Federal Regulations, Chapter 1 ($90.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all USDE mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

POSTCARD

Grant Application Receipt Acknowledgement

This postcard is provided to expedite the notification of receipt of your grant application in the U.S. Department of Education's Application Control Center. Self-address the return portion of this postcard and enter any identification information that would be helpful to your institution in identifying this grant application. The postcard will be returned to you with the control number that has been assigned by the Department of Education.

If you fail to receive the notification of application receipt within fifteen (15) days from the date you mailed the application, call:

U.S. Department of Education
Application Control Center
(202) 732-2495

CUT ALONG BROKEN LINE

POSTAGE AND FEES PAID
U.S. DEPARTMENT OF EDUCATION
ED 396

U.S. DEPARTMENT OF EDUCATION
APPLICATION CONTROL CENTER
WASHINGTON, D.C. 20202

OFFICIAL BUSINESS
PENALTY FOR PRIVATE USE, $300

U.S. DEPARTMENT OF EDUCATION
WASHINGTON, D.C. 20202

OFFICIAL BUSINESS
PENALTY FOR PRIVATE USE, $300

POSTAGE AND FEES PAID
U.S. DEPARTMENT OF EDUCATION
ED 395

FIRST CLASS MAIL

DATED MATERIAL – OPEN IMMEDIATELY

U.S. Department of Education
Application Control Center
Washington, D.C. 20202

This will acknowledge receipt of your grant application submitted under Federal program number 84.133, REHABILITATION RESEARCH

Please reference the number stamped below in all further correspondence regarding this application.

Project Title (*to be completed by applicant*)

Project Director or Contact Person
(*to be completed by applicant*)